

An analysis of the perceptions of staff on performance appraisal: The case of the Department of Correctional Services

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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 university for a degree.

A handwritten signature in dark ink, appearing to be 'Malibongwe David Binza', written in a cursive style.

Malibongwe David Binza

25 February 2011

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Abstract

The Department of Correctional Services (DCS) is security-oriented environment with a constitutional mandate to enforce offenders' sentences by the court in a humane and safe manner that leads to their rehabilitation.

Performance by employees especially in a security-oriented environment is inevitably important and therefore has to be properly managed. Performance appraisal is one area of performance management that reinforces good performance.

This study is meant to achieve the following objectives:

- To review literature regarding optimal performance appraisal processes in the DCS.
- To conduct an investigation into the perceptions of DCS employees on how performance appraisal is done in the department.
- To develop recommendations on how to improve performance appraisal conduct in the department.

A literature review is conducted to put into perspective an ideal performance appraisal. Following this, qualitative and quantitative case study design methods were used to investigate how performance appraisals are viewed. Research participants were randomly sampled from Goodwood Prison, including Bellville Community Corrections. Their perceptions of the current system were tested and they were also asked how they thought it could be improved. Their input was collected by means of questionnaires. Collected data is then analysed, conclusions drawn and recommendations made on how performance appraisal could be improved.

This study afforded DCS members an opportunity to interact with the researcher, in terms of representing their perceptions performance appraisal in the department. A major finding in this study is that the majority (70%) of DCS employees were not happy with the way appraisal is conducted in the department. Major causes of dissatisfaction included favouritism or lack of fairness. This is followed by lack of training. Respondents placed emphasis on the requirements for improvement in both of these areas.

Based on the conducted research, the thesis offers the following recommendations to the DCS, namely making spiritual care a major player in increasing fairness and in eliminating favouritism which derails satisfactory performance appraisal in the department. Training is suggested as another way that improve performance appraisal in the department.

In conclusion performance appraisal should be treated as important and given the attention that it deserves by management. This will result in better performance by employees and the department itself and is of utmost importance in a security-oriented environment.

Opsomming

Die Departement van Korrektiewe Dienste (DKD) is sekuriteits-en omgewingsgeïntereerd met 'n konstitusionele mandaat om vonnisse van oortreders wat deur die hof opgelê is op 'n veilige en menslike wyse toe te pas wat hul rehabilitasie tot gevolg hê. Produktiwiteit van werknemers is veral noodsaaklik en belangrik in 'n sekuriteitsge-oriënteerde omgewing en moet dus gevolglik effektief bestuur word. Produktiwiteitsmeting is een faset van produktiwiteitsbestuur wat goeie prestasie en hoër produktiwiteit bevorder.

Die mikpunt van hierdie studie was om die volgende doelstellings te bereik:

- Om 'n oorsig van die akademiese literatuur aangaande die optimale produktiwiteitsassesseringsprosesse in die DKD te bied.
- Om die menings van DKD werknemers oor die proses van produktiwiteitsassessering in die DKD te ondersoek, en
- Om voorstelle te ontwikkel vir die verbetering van produktiwiteitsassesseringspraktyke in die departement.

'n Oorsig van akademiese literatuur was gedoen om 'n ideaal vir produktiwiteitsassessering in perspektief te plaas. Vervolgens is kwalitatiewe en kwantitatiewe ondersoekinstrumente toegepas in 'n gevallestudie om die opvattinge omtrent produktiwiteitsassessering te ondersoek. Goodwood gevangenis, en Bellville Gemeenskapsgevangenis was die bronne vir deelnemers aan die ondersoek. Hul opvattinge oor die huidige struktuur was getoets, sowel as hul menings oor hoe dit verbeter kan word. Hul bydrae was verkry deur middel van 'n vraelys. Die versamelde data was ge-analiseer, afleidings is gemaak, menings was gevorm en voorstellings is gemaak oor hoe produktiwiteitsassessering verbeter kan word.

Die ondersoek het 'n geleentheid gebied vir interaksie tussen lede van die DKD en die ondersoekbeampte in terme van verteenwoordiging van lede in hul menings oor produktiwiteitsassessering in die departement. 'n Hoofstaande bevinding van die studie was dat 'n oorweldigende meerderheid van werknemers van die DKD ongelukkig was met die wyse van produktiwiteitsassessering in die departement. Hoofsaaklike oorsake van ontevredeheid

was voortrekkery en ongelyke behandeling. Dit was gevolg deur 'n gebrek aan opleiding. Respondente het klem gelê op die vereistes vir verbetering in albei areas.

Hierdie tesis maak die volgende voorstellings, gebaseer op die ondersoek wat geloods is: gee prioriteitsposisie aan geestelike sorg as 'n groot faktor in die verhoging van gelyke behandeling en die uitskakeling van voortekker as 'n duiwel wat bevredigende prestasie- en produktiwiteitsassessering in die wiele ry binne die department. Opleiding was voorgestel as nog 'n wyse waarop produktiwiteitsassessering in die department verbeter kan word.

Ten laaste, produktiwiteitsassessering moet as belangrik behandel word en die goedverdiende aandag van bestuur geniet. Dit sal verhoogde produktiwiteit/werksprestasie by werknemers en die department self tot gevolg hê en is van uiterste belang in 'n sekuriteitsge-oriënteerde omgewing.

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Chapter 1

Introduction to research

1.1. Introduction and research overview

Performance appraisal is an ongoing evaluation of an employee's performance which constitutes their contribution to the organisation. It should be properly managed to ensure that organisational goals are achieved through employees' performance and development. According to the Philp (1990: 7), the effectiveness of an organisation is determined by the effectiveness of its individuals. The assessment of employees should be properly managed at all times. This is supported by the following statement that "Performance appraisal (PA) is the ongoing process of evaluating and managing both the behaviour and outcomes in the work place" (Grobler, Wörnich, Carrell, Elbert and Hatfield, 2006: 262).

The purposes of performance appraisal are evaluative and developmental as stated by Grobler et al. (2006: 265). However, according to the researcher performance appraisal in the Department of Correctional Services often loses its intended purpose.

This research is informed by the researcher's personal experience, the unsatisfactory quality management of performance appraisal by unit managers and the lack of insight into performance appraisal of the subordinates, noted since joining of the Department of Correctional Services (DCS) in April 2002. During this time the researcher noticed that unit managers and their subordinates do not seem to understand and attach the necessary value to performance appraisals. These include; the attainment of organisational and individual goals respectively. There is a lax approach to the process within the department. This is supported by the following statement that "In many public institutions the poor quality of many performance appraisal systems leaves much to be desired" (van der Walldt, 2004: 241).

The unsatisfactory management of performance appraisal often aggrieves deserving staff members and negatively affects their work (Thysse, 2000: 7). The Department of Correctional Services as a government department is no exception to this. Ending up with

aggrieved employees in any security-oriented environment is a recipe for disaster (Mthombeni, 2006: 2).

1.2. Problem statement

Many government departments, including the Department of Correctional Services are faced with a problem of performance appraisal. Performance appraisal is the responsibility of supervisors/managers to measure subordinates such as junior correctional officials and these are supported by good policies and guidelines. It is also the responsibility of subordinates to see to it that they are indeed appraised. This means that performance appraisal is a dual responsibility of both the employer and the employee. This is why it is necessary that both managers and subordinates have to understand how performance appraisals are performed.

However, despite effective policies regarding appraisal and guidelines such as, Guidelines for Promotion and Merit Assessment, the department, DCS seems to have a problem with its performance appraisal, which Wessmann (2003: 3) refers to as “bad management”. Performance appraisal programmes are not properly conducted at in DCS facilities in the Cape Metro District, such as Goodwood prison and Bellville Community Corrections, by the unit managers.

As an employee in the Department of Correctional Services, the researcher became aware of the challenges facing the department. Different problems face DCS when it comes to performance appraisal, for example, performance appraisals not done by supervisors until the last minute. Thyse (2000: 3) who did a similar study in DCS supports this when she claims that appraisals in DCS are done only once a year and appraisals are dependent on supervisors’ judgement and are not dependent on the outcomes of performance. Grobler et al. (2006: 278) concur when they say supervisors tend to remember the most recent things (“recency”) when organisations use the annual or semi-annual performance appraisals or even doing quarterly reviews but simply leaving those reviews until the last minute.

Most supervisors in the department including the researchers' own supervisor find it difficult to do proper evaluation. It is as a result of this that four tendencies have been identified such as leniency, central tendency, strictness and halo effect.

Being lenient is what Grobler et al. (2006: 277), refers to as the "leniency", which is giving everybody high appraisal evaluation marks.

Some supervisors take a middle ground in evaluating employees and give points which are average to everybody. This is a situation that is called "central tendency" by Grobler et al. (2006: 277). Supervisors find it difficult to score subordinates lower or higher relative to their colleagues even though their performance reflects this.

Sometimes as witnessed by the researcher in the Department of Correctional Services, supervisors keep a low profile and give everybody low marks as an easy way out. Grobler et al. (2006: 278) refers to a situation where all employees are given low marks as "strictness".

In the Department of Correctional Services, particularly places where the researcher has worked, such as Drakenstein and Goodwood Prisons, supervisors are often influenced by their personal opinions of subordinates and this clouds their judgement. This is referred to as the "halo effect" by Grobler et al. (2006: 277) that is negative or positive halo effects. , for example, positive halo effect, for example, being a favourite as a result of being good in sports , for example, rugby against other prisons and not doing work well but being scored excellently and the other way round being negative halo effect. The former is the case in Drakenstein prison.

In essence the problem that this research seeks to address is to explore factors why staff of the Department of Correctional Services regard performance appraisal as not being properly implemented.

1.3. Research questions

Due to these stated problems with performance appraisal in DCS, this study seeks answers to the following questions in the Department of Correctional Services, Western Cape, Cape Metro District:

- What are the perceptions of staff on performance appraisal in the Department of Correctional Services? and
- What can be done to improve the current performance appraisal system in the Department of Correctional Services?

1.4. Research objectives

The goal of this study is to analyse perceptions of employees within DCS on performance appraisal and then provide effective and indispensable recommendations for the improvement of performance appraisal in the Department of Correctional Services.

The research study adopts the following objectives:

- To conduct a literature investigation into performance appraisal to establish best practices
- To investigate the case of the Department of Correctional Services in conducting performance appraisal
- To establish DCS staff perceptions on the current process of performance appraisal
- To draw conclusions and formulate recommendations for improving performance appraisal in DCS

1.5. The research design and methodology

This study adopts a case study design that aims to provide an in-depth description of a small number of cases (Mouton 2006: 149) and makes use of qualitative and quantitative methodology. Document review is used to analyse the current process of performance appraisal in the DCS.

A semi-structured questionnaire to analyse the perceptions of all staff including all ranks such as Directors, Deputy Directors, Assistant Directors, Senior and Junior correctional officials on performance appraisal in the Department of Correctional Services.

A hybrid approach is utilised in the questionnaire in which both open-ended questions and short numerical questions were asked. The responses to these questions were analysed in an attempt to achieve the research goals outlined above. “The promise of qualitative research is that individuals are best placed to describe the situations, experiences or feelings in their own words. It is therefore ...the lived experience and the interpretations and meaning which people attach to it” (Holloway and Wheeler in Thyse, 2000: 9). These respondents are responsible and accountable for performance appraisal of their subordinates. They were, therefore, both in a better position to describe their situations, experiences and or feelings in their own words.

A quantitative approach is used in some instances where, for example, participants were asked to rate in a scale format in trying to establish or to determine how they viewed appraisals.

1.5.1. Literature review

The research commenced with a thorough review of national and internal literature on performance appraisal.

1.5.2 DCS document review

In order for the researcher to understand how DCS wants performance appraisal to be done it will be necessary for him to look at the following documents:

- Guidelines for promotion and Merit Assessment;
- Guidelines for Handling of Promotions;
- Performance Management Booklet for DCS employees;
- Performance Management and Development System for DCS Employees ; and
- Policy Procedure on Performance and Career Management.

Before 2008 there were guidelines such as the Guidelines for Promotion and Merit Assessment as well as Guidelines for Handling of Promotions (2000) that is mostly used to guide management of performance appraisal in DCS. These are given as guidelines to managers on how to manage performance appraisal in the department. These were signed by Mahoje as a director of Human Resource Management of DCS.

After 2008 the department came up with a slightly different way of managing performance appraisal in the department. Managers as well as employees have to be guided during this transition and guiding them in the performance management are: Performance Management Booklet for DCS employees, Performance Management and Development System for DCS Employees (2008) and Policy Procedure on Performance (2008) and Career Management (2008), as given by DCS. These documents are important in that they stipulate how performance appraisal in DCS should be dealt with and hence these documents were consulted and reviewed in order to better understand the case of DCS performance appraisal. This review is supplemented by the questionnaire which will be discussed in the following section.

1.5.3. Questionnaire research participants

The researcher had two assistants to collect data from research participants from the following sections: finance, hospital, education, health, psychology, social work, personnel, information technology, human resource, security/custody, laundry and uniform, logistics, transport, reception, registration, parole board and typists departments. This broad sample is to ensure a representative picture of all operational aspects of the DCS.

The Department of Correctional Services applies affirmative action according to the Employment Equity Act, Act no 55 of 1998. The researcher is dependent on the application employment equity in terms of representation of these groups. Everybody working in these facilities stood a chance to become a participant as it will be discussed under sampling procedure in the following sections. Given the fact that this legislation is over ten years old and the Department of Correctional Services is part and parcel of the public sector, the researcher assumed that the study's focus group will be a mixed and representative group

comprising of all representative number of all of South African racial groups with all genders, different age groups and physically challenged individuals.

Theory or information that is gathered from other sources such as the internet, personal interviews, books, journals, dissertations, magazines, news papers and lectures are also considered in the study.

1.5.4. Instrument

A semi-structured questionnaire is utilised as a research instrument for the study. It was designed with both open-ended and closed questions as discussed under the design section. Questions sought to investigate staff perceptions with regards to performance appraisal in the Department of Correctional Services and their thoughts on how it could be improved. The instrument is self-administered questionnaires with the help of two research assistants.

1.5.5. Sampling procedure

A survey is conducted in the population of the Department of Correctional Services. The sampling frame is the Department of Correctional Services (DCS) and the sample consisted of Goodwood Prison and Bellville Community Corrections, which consists of 504 personnel in total. Both managers and subordinates from all departments of Goodwood prison including Bellville Community Corrections are targeted in the study. The sample consisted of 101 members in total who have at least to be more than one year in the department. In order to achieve a wealth of experience and value to the study, both managers and their subordinates are included in the sample. That means that a stratified probability sampling is used in this study.

Members are randomly sampled from a list of names as obtained from the personnel department and then grouped according to rank and are then requested to complete a questionnaire. Random sampling of names from each group, strata, is done until the determined number is full. The rest of the names are kept to replace the ones who are not interested to participate in the study. This means that a list has to be compiled and the

sampled individuals have to be located by the researcher and researcher assistants in their various departments and they are asked to complete questionnaires.

This is a voluntary study, participants are allowed to withdraw whenever they want at any point during the study and, a replacement name will be randomly drawn.

All participants are requested to complete questionnaires individually and as honestly as possible. All participants are assumed to have Matric as this is a requirement to be in the employment of the Department of Correctional Services at any capacity. Therefore, it is expected of the sampled participants to be able to express themselves in English.

1.5.6. Data Analysis

Data collected through the use of a questionnaire as described above under “instrument” (section 1.5.4 above) was analysed as follows.

Each questionnaire is read in its entirety to gain a comprehensive understanding of the overall views of each respondent. A summary of the responses were constructed in either graph or table format. During this process answers were grouped and emerging themes were noted. Quantitative data is given codes and with the assistance of statistician, Mr. Harvey from Research Support, those codes were analysed, multivariate analysis using the Pearson Chi-square. The Pearson Chi-square analyses were done to test the relationship between different themes. Findings from the instrument were integrated with the discussed theoretical framework to draw conclusions and make recommendations.

1.6. Ethical Issues

The study took into consideration a number of ethical issues. Among others the researcher ensured that:

- Respondents remain anonymous;
- The information provided is treated as confidential and used for the purposes of this study only, unless express permission is received by DCS and respondents; and
- Participation is completely voluntary.

1.7. Chapter Outline

The first chapter introduces the study in terms of what is to be done in the study. It explores the research question, the research design, research methodology and research instrument.

The second chapter regards the ideal performance appraisal in terms of what the literature says about the topic. It defines performance appraisal and how it should be done. Challenges around performance appraisal are also identified.

The third chapter looks at how the Department of Correctional Services experts its performance appraisal to be done. The chapter examines how DCS defines performance appraisal as well as examines the purpose of this exercise. This is in terms of the policies and guidelines that DCS used.

The fourth chapter investigates how the current performance appraisal is done in the department. This is achieved through the use of questionnaires asking respondents what they thought of the system and how they thought it could be improved upon.

The fifth and final chapter analyses the results and draws conclusions and makes recommendations to the Department of Correctional Services on how to improve performance appraisal.

1.8. Conclusion

In summary, this chapter served as an introduction to the study. It provided rationale for the study. Problem statement, research questions and research objectives were discussed. Methodology, research design and the research instrument were discussed, including how data is going to be analysed. The sampling process is also discussed.

It is common practice that one should reflect on existing literature when undertaking a study such as this. As a result, the next chapter consists of a literature review of material that is relevant to the topic of this study.

Chapter 2

Performance Appraisal in the Work Place

2.1. Introduction

Performance appraisals are an important element in the development of institutions' most important resources, employees, (Grobler, et al. 2006: 265). They further claim that the development of employees could not be achieved by any other human resource programme than performance appraisal.

This chapter defines performance appraisal and performance management. It also discusses the developmental and evaluative objectives of performance appraisal as well as the process involved. Those who administer performance appraisal and the principles of performance appraisal are addressed. Problems with performance appraisal are highlighted and how these could be limited. Legally well developed performance appraisals and legal implications of performance appraisals are briefly argued. Finally this chapter also examines the various methods of performance appraisal.

2.2. Performance appraisal and performance management definitions

Performance appraisal refers to the evaluation of employees at the end of the performance cycle in order to see how they have performed in terms of achieving the targets as set out in the performance agreement and performance improvement plans. This process is conducted between supervisor and supervisee.

This is derived from the following definitions:

1. "Performance appraisal can be regarded as *the process by which an employee's contribution to the organisation during a specified period of time is assessed*" (van der Walddt, 2004: 240).

2. "Performance appraisal (PA) is the ongoing *process of evaluating and managing both the behaviour and outcomes* in the work place" (Grobler et al., 2006: 262).
3. "Performance appraisal *is a platform for performance management by establishing targets and making a range of decisions aimed at improving the performance of employees in an institution*" (van der Walddt, 2004: 242).
4. Latham and Wexley (1994:4) claim that *performance appraisal is not limited to identifying deserving recognition and areas that need improvement on a one-to-one basis but it is "any decision that affects an employee's retention, termination, promotion..."*

Performance appraisal is part of performance management. Performance management is about finding better ways to better businesses performance that is in terms of organisational goals and objectives. This is supported by van der Walddt (2004: 39) who says that performance management refers to *the processes, techniques and methods that are used to produce and achieve performance improvement* and performance management is the done to *ensure that organisational goals are achieved*. This is supported by Grobler et al. (2006: 262) when they declare that performance management is *done to ensure achievement of business goals*.

Carrell, Elbert, Hatfield, Grobler, Marx and van der Schyf (1998: 258) define performance management as *all the management tools; for example, rewards, job design, leadership, and training that are used to ensure the achievement of organisational goals*." Curtis, Hefley and Miller (2002: 162) support that and declare that performance management is a "*continual discussion of work performance to identify ways to improve it*". This sentiment is also supported by the following definition that performance management refers to "*a process for establishing a shared understanding about what is to be achieved, how it is to be achieved, and an approach to managing people which increase the probability of achieving job-related success*" (Hartle, 1997: 12). Smith and Cronje (2002: 404) share the same opinion when they declare that performance management is about *control of human resource which includes evaluation of employees and managers' in organisational performance*. That means that individual performances are assessed and compared against a set standard of an organisation to see how employees are effective in achieving organisational goals.

Performance management is therefore about finding better performance in order to realise organisational goals and performance appraisal is about assessing individual performances towards the realisation of organisational goals.

The elements of performance management involve; agreeing on what will be assessed and how it will be assessed, then continually reviewing achievement thereof, coming up with corrective steps and at the end of the performance cycle evaluating the effectiveness in terms of performance.

Performance appraisal is one of the elements of performance management. Hartle (1997: 12) claims that there are three elements of its development cycle of which performance appraisal is part of and these include performance agreement, continuous review and performance appraisal.

According to Hartle (1997: 12) there have to be performance agreements. This refers to an agreement between supervisor and employee linking the employee's work plan to organisational goals. This is supposed to take place at the beginning of the performance cycle. It is important that this happens so that both parties are clear on their expectations. That is supported by the following writing that " if an effective job is done in clarifying what's expected in terms of significant job segments and standards of performance, the appraisal by the manager becomes quite easy and objective" (Kirkpatrick, 2006: 49).

Hartle (1997: 12) claims that this process has to be a continuous referring to meetings between the supervisor and employee having to take place at regular intervals during the year. This involves performance review and providing feedback by the supervisor. Kirkpatrick (2006: 51) seconds this notion and he refers to it as "the critical incident method". He further declares that this preparation has to be professionally done in that there has to be preparation for the process. In other words it should be structured and only positive and constructive outcomes should result.

Hartle (1997: 12) states that the final step is performance appraisal. This involves the formal assessment of what has been achieved during the course of the year based. He claims that this should be an open and supportive management procedure. According to Kirkpatrick (2006: 61 – 62) during an appraisal interview, rapport should be established and maintained through communication. In addition the purpose of interview should be clearly outlined, focus placed on performance and the future, not personality and the past respectively and concluding on a positive note.

Having looked at definitions of performance appraisal and performance management it becomes important to examine the objectives of performance appraisal.

2.3. Objectives of performance appraisal

At times, claims Van der Waldt (2004: 241) some managers do performance appraisals for the sake of doing them, for example, because they are mandatory and because they have to comply with the institution's human resource policy. Latham and Wexley (1994: 1) concur and claim that performance appraisals are being used reluctantly to satisfy formal organisational and legal requirements. Some managers go to the extent of saying "oh my god its appraisal time again. I suppose we had better do it. But what the hell are we doing it for" (Snape, Redman & Bamber, 1994: 43). Van der Waldt (2004: 241) concurs when he declares that "...performance appraisals are often viewed as an administrative burden". Moon (1997: 20 - 21) claims that performance appraisals are complicated and time consuming but they never bring or lead anything new and this is due to the fact that some supervisors do not feel at ease by judging their colleagues' performance. Latham and Wexley (1994:1) compare performance appraisals to seat belts and claim that most people see performance appraisals as necessary but they do not want to do them. It becomes therefore evident that there turns to be some lack of insight into the role or purpose of performance appraisal.

The main objective of performance appraisal is to enhance an employee's performance in order to realise organisational goals. Van der Waldt (2004: 239) supports that when he

declares that the key to human resource management is management of performance. According to Van der Waldt (2004; 239), this ensures the following:

- Employees get to know what is expected of them;
- Supervisors are able to judge if an employee's performance is in line with expectations ;
- Inadequate performance can be identified performance improvement steps can be taken; and
- Good performance delivery is acknowledged and rewarded, for example, Merit bonus.

Latham and Wexley (1994: 4 – 5) declare that performance appraisal is “...necessary because it serves as an audit for the organisation about the effectiveness of each employee”. Performance appraisal has developmental and evaluative purposes and according to Grobler et al. (2006: 277). Van der Waldt (2004: 242) supports this idea and declares that performance appraisal objectives are both developmental and evaluative, for example, involves both coaching and counselling (Mixed model). This is supported by van der Waldt (2004: 241 - 242) when he declares that the “tell-and-sell” and “tell and listen” objectives of performance appraisal are “... evaluative in nature” and is used for evaluation purposes. He further declares that the problem solving objective of performance appraisal is “... developmental in nature and involves counselling” (van der Waldt, 2004: 242).

According to Grobler et al. (2006: 96) the objectives of performance appraisal are as follow:

- Performance appraisal as determinant of organisational success;
- Performance appraisal as an indispensable human resource programme;
- Performance appraisal used for administrative purposes;
- Performance appraisal as a developmental and evaluative tool; and
- Performance appraisal as a communication instrument.

2.3.1. Performance appraisal as determinant of organisational success

Grobler et al. (2006: 96) claim that most successful organisations are those where human resources are well developed and have a well developed performance appraisal. They further state that, although strong development programmes do not guarantee successful organisations there is a strong relationship in this regard.

Organisations have to be effective in what they do. That means, being successful in terms of results which means “achieving consistent effectiveness” (Neal, 2003: 15). That means this is key to the success of the organisation, well developed performance appraisal.

2.3.2. Performance appraisal as an indispensable human resource programme

Performance appraisal in the work place is done for the purpose of meeting objectives. Grobler et al. (2006: 265) shows this importance when they claim that the objectives of performance appraisal could not be achieved by any other human resource programme except by performance appraisal. This is done for the development of employees for the realisation of organisational goals. Philp (1990: 7) claims that the effectiveness of an organisation is determined by the effectiveness of the individuals it is constituted by. This can be achieved through properly implemented performance appraisal. Latham and Wexley (1994: 3), agree that performance appraisal is probably the most important system as it is a prerequisite for a variety of things such as training, staffing and motivation. They further claim that the core of performance appraisal process is the definition of effective employee behaviour.

2.3.3. Performance appraisal used for administrative purposes

Grobler et al. (2006: 265), stipulate that performance appraisals are used for various administrative functions such as:

- Decision making, for example, with regards to pay;
- Promotions; and
- Retention guidelines.

Smither (1998: 50) supports Grobler et al. (2006: 265) and declares that performance appraisal is used to make decisions around merit pay, promotion and retention, and he takes the argument further as to say that performance rating is used to select current employees for, training, transfer, discipline, demotion or termination. Latham and Wexley (1994: 4) concur when they claim that performance appraisal can be used for “...any personnel decision that affects an employee’s retention, termination, promotion, demotion, transfer, salary increase or decrease, or admission into a training program”.

2.3.4 Performance appraisal as a developmental and evaluation tool

Grobler et al. (2006: 265), claim that performance appraisals are both evaluative and developmental. They declare that performance appraisals are evaluative referring to the fact that most decisions such as pay are based on, for example, who should get a merit award and or who should get salary increase.

Performance appraisal also seeks to improve individual performance in support of organisational goals. This is supported by Philp (1990: 7) when state that performance appraisals are done for the following benefits:

- To better the performance of an incumbent ;
- To note factors that are limiting performance; and
- Acknowledging a plan which will improve performance.

This is supported by Grobler et al. (2006: 265), when they declare that the developmental aspect of performance appraisal is focused on developing the skills of the employees and motivating employees. The goal would be to improve employees’ performance by providing them with a guideline or an action plan to realise this objective. This could be through on-site or off-site training and would aim to make them future leaders and continue their development in line with organisational goals. This is supported by the following declaring stating that “the primary purpose of performance appraisal is to counsel and develop employees on the ways to increase their productivity” (Latham & Wexley, 1994: 45). Moon (1997: 9) supports that too and claims performance appraisal identifies training needs and claims that areas for improvement may be areas where training is needed and this may be

identified or verbalized by the employee during his or her feedback to the boss. Developing employees will ensure that organisational goals are realised. Joy-Matthews, Megginson and Surtees (2004: 62) support that and they believe that enhancement of human performance such as through performance appraisal gives rise to sound organisational performance.

2.3.5. Performance appraisal as a communication instrument

Performance appraisal ensures that communication takes place between the supervisor and the subordinate. This is supported by the following statement by Moon (1997: 9) where he states that performance appraisal is necessary because it is good for feedback purposes to both the employee and the supervisee. This is supported by Murphy and Cleveland (1995: 91) when they claim that performance appraisal is a feedback system between both supervisor and the supervisee. This offers a platform for setting and clarifying objectives, for example, an opportunity for stating and clarifying objectives.

Erasmus, Loedolff, Mda and Nel (2006: 274) refer to an “assessment phase” which involves the annual assessment against the set standard which may include rewarding of good performance. Erasmus, Loedolff, Mda and Nel (2006: 274) even refer to a called the “facilitation and execution phase” which involves continuous assessments and feedback. According to Kirkpatrick (2006: 6) communication could ensure that a lot is obtained out of employees, for example, when what is expected out of each employee has been clearly explained, for example, in terms of the job performance and the set standard and communicating clearly what is expected of the employee

If the above points are the benefits of performance appraisal as they are stipulated such as; administrative and evaluative objectives, communication, and developmental perhaps it then becomes necessary to examine the actual process of performance appraisal.

In fulfilling the objectives of performance appraisal the next section will outline the process of performance appraisal.

2.4. Process of performance appraisal

Performance appraisal is a process, and it covers the following aspects:

- Definition of employee's productivity and standards of performance;
- Developing measurement tool;
- Training of supervisors on the decided measuring tool;
- Discussion of the method or measuring tool with employees;
- Discussing of appraisal with the employees;
- Appraising according to job standard; and
- Determining future performance goals.

2.4.1. Definition of employees' productivity and standards of performance

Murphy and Cleveland (1995: 87) claim that performance appraisal is done in steps and that the first step involves defining the employee's productivity in terms of what is expected of the employee, is explained so that there is mutual understanding. Grobler et al. (2006: 267) supports this and refer to this stage as "establishing performance requirements." Kirkpatrick (2006: 25) shows how important this is when he questions the fairness or validity of performance appraisal if it is done without satisfying this stage. He declares; "If I haven't discussed my expectations with the employee, how do I rate performance?" To make this clear he answers his question with another question in this way that if you do "not know what you are looking for, how do you know when you find it?"

What is expected out of an employee in terms of performance should come from the employee's job description that is important parts of the job description and Kirkpatrick (2006: 26) refers to it as "important job segments". Erasmus, Loedolff, Mda and Nel (2006: 274) refer to this as being "the planning phase" which according to them involves the definition of roles and tasks that are to be done the establishment of standards of performance. According to Latham and Wexley (1994: 8) the job analysis should be conducted in order to determine key performance areas.

2.4.1.1. Standards of performance

Standards of performance describe how well a job segment must be done, that is, sets the standard. Kirkpatrick (2006: 37) declares that standards of performance refer to the

conditions that will exist when the job segment is done well enough or is done in an acceptable manner. Kirkpatrick (2006: 36) claims that standards of performance are a very important and yet often forgotten element during performance reviews process. This is also necessary to direct the behaviour of employees and the basis of performance appraisal. These standards of performance should have the following characteristics:

- They should be job based;
- They should be achievable;
- They should be specific and measurable;
- They should be time-oriented;
- They should be written;
- They should be adaptable;
- They should be understandable to both the employee and the employer; and
- They should be agreed upon.

Kirkpatrick (2006, 49) states that if a good effort is made in clarifying performance expectation and standards, it makes the performance appraisal process easier and objective.

2.4.1.2. Developing a measurement tool

Performance appraisal should be sequentially done. This is supported by Murphy and Cleveland (1995: 87) who claim that performance appraisal is done in steps as mentioned above. Developing a measuring tool refers to the second stage of this process. They claim that this stage involves the development of ways in which productivity could be measured. Erasmus, Loedolff, Mda and Nel (2006: 274). According to Latham and Wexley (1994: 8) the development of a performance appraisal instrument should take place.

Organisations will use varying performance measurement tools, depending on their particular requirements. This is supported by the following statement that “The instrument used to appraise employees lies at the core of the appraisal system” (Latham & Wexley, 1994: 76). They further propose that these instruments should be reliable, valid, practical and free from bias. However that does not mean that performance appraisal instruments are perfect and accurate in appraising performance appraisal. Latham and Wexley (1994: 76)

support this when they claim that performance appraisal instrument is "...is limited in its accuracy to the extent that the user may abuse it" (Latham & Wexley, 1994: 76).

2.4.1.3. Training of supervisors on the decided measuring tool

Training of supervisors should be done on the decided measuring tool. According to Grobler et al. (2006: 267), having decided on the appropriate methods that are to be used to appraise employees, supervisors must be trained on how to use the tool. This is so that supervisors could prepare accurate and fair appraisals to avoid unfair scoring of employees by supervisors which often results in the lowering of employee morale and reduced productivity.

2.4.2. Discussing the method or measuring tool with employees

Having been trained on the decided tool will mean that the supervisor is in a better position to discuss it and will be comfortable discussing the actual appraisal with the employee as well. According to Grobler et al. (2006: 267) supervisors must be sure to discuss appraisals with employees so that they can express their satisfactions or dissatisfaction. Emphasis should be made on the positive aspects of employees' performance and in areas where improvement is necessary.

According to van der Waldt (2004: 265) the first step should be the communication of evaluation and this should start by reviewing rating or results of performance, cooperation and motivation. Emphasis should be on what went well and areas where improvement is needed.

According to van der Waldt (2004: 265) the next step should what he refers to as "resolution of misunderstandings". Discussions should be held with the subordinate giving concrete examples and allowing them to respond to the appraisal in a comfortable environment. According to van der Waldt (2004: 265) this includes accepting the score that has been given as well. He refers to this as the "seeking acceptance of ratings".

If performance is not up to standard, future performance goals should be determined. According to van der Waldt (2004: 265) refers to this "Identification of areas of

improvement” which includes providing feedback about ways in which job performance could be improved. Kirkpatrick (2006: 66) refers to this as a performance improvement plan and it should state clearly what is to be done by whom and when. This should be followed by coaching on the job. This involves utilising and maximising the abilities of the employee or subordinates.

2.4.3. Appraising according to job standard

Supervisors should assess employees’ work according to agreed work requirements. This means that comparing with specific requirements will indicate exactly what the employee has done well or not. This helps to leave feelings aside and to deal with actual performance. This is supported by Carrel, et al (1998: 263) when they declare that feelings are only mental constructs and should not be evaluated.

2.4.4. Determining future performance goals

According to Carrell et al. (1998: 264) performance appraisal process should be able to draw commitments by the parties concerned and focus towards the future. Van der Waladt (2004: 245) refers to this as “Securing commitment towards future goals” this means that emphasis here should be directed towards the future and not the past.

Having looked at the process of performance appraisal above such developing measuring tool, and discussing it with the employees and drawing commitment towards future, the question then becomes who should be doing these performance appraisals?

2.5. Who does performance appraisals?

Traditionally supervisors are associated with doing performance appraisals. This idea is shared by Carrell et al. (1998: 283) when they argue that supervisors are the ones who do the appraising of individuals under normal circumstances. This is not always the case though as will be discussed below. Different appraisers will be discussed briefly below as taken from Latham and Wexley (1994: 112 – 134) and other sources:

2.5.1. Appraisal by superiors

Latham and Wexley (1994: 112) claim that appraisals by supervisors accounts for 95% of appraisals in America. Grobler et al. (2006: 279) concur and they go on to say that supervisors are best placed to observe and to determine if employees are achieving organisational goals and objectives. Carrell et al. (1998: 283) also support this and claim that supervisors are in the best position to see and decide if employees are reaching specified goals and objectives of an organisation.

2.5.2. Peer Appraisals

Employees can also appraise one another. Grobler et al. (2006: 279) declare that if employees are working in a close relationship with one another, but not competing with one another they may be in good position to can assess each other. This is supported by Carrell et al. (1998: 283) when they say that peer evaluators are in the best position to do these evaluations but warn against competition between them. Latham and Wexley (1994: 112) also support this idea and say that peer appraisals refers to those appraisals that are done by employee's colleagues such as people from the same rank and who interact frequently with one another.

2.5.3. Appraisal by subordinates

Latham and Wexley (1994: 112) declare that this involves the assessment of superiors by subordinates. This is uncommon because most institutions use a top-down approach in their management and fear that subordinates will undermine managers if they must assess them. Grobler et al. (2006: 284) and Carrell et al. (1998: 291) concur and refer to this as "reverse appraisal" but there should be no fear of retaliation for this to be effective. They think that the results may not be reliable because the subordinate may rate their supervisor high in order to maintain a cordial relationship.

2.5.4. Self-appraisal

Employees may be expected to assess and score. Grobler et al. (2006: 282) refers to this as self-rating, that is, the rating that the employee gives to his or her own performance.

Grobler et al. (2006: 282) claim that this is gaining momentum. It involves self assessment and is taken from the fact that employees understand and know how they perform themselves better than anybody else. However, people are likely to give themselves high scores, making the process unreliable. Latham and Wexley (1994: 124) concur when they state that "...people may rate themselves high regardless of how well they are truly performing their job". However, Beardwell and Holden (2001: 543) claim that this can be the best method as the employee knows best his or her needs, strengths, weaknesses, goals and capabilities.

2.5.5. Appraisal by outsiders

Latham and Wexley (1994: 112) claim that some institutions prefer to use external appraisers. Problems may include seeing several employees performing the same job at the same time. Grobler et al. (2006: 280) state that people from outside of the institution may not only refer to the professional groups with whom employee assessments may be outsourced but also may refer to customer/client evaluations. This is often referred to as "multirater" or "360 degrees". This means employees being evaluated by customers or clients as performers and this is more fair and objective according to Grobler et al. (2006: 280).

It has been stated who should be doing performance appraisal but how exactly should they be doing it. Therefore the next section focus specifically on the methods and instruments of performance appraisal.

2.6. Methods and instruments of performance appraisal

According to Grobler et al. (2006: 268) performance appraisal methods are divided into two categories. These include comparative methods such as ranking and forced distribution. That means having to rate an employee's performance in comparison to other employees performance. Another method is called the objective methodology and this refers to rating scale, management by objective, rating of employee's against some objectives and selected or imaginary goals.

2.6.1. Comparative methods

This involves comparing or checking an employee against other employees. Van der Waladt (2004: 264) states that comparative method involves comparing an employee with one or many other employees. Some of these will be discussed below.

2.6.1.1. Ranking

Ranking refers to supervisors comparing their subordinates to one another as opposed to a set standard. According to Grobler et al. (2006: 271) claim that here employees are ranked according to those that are most effective or less effective. This is supported by Beardwell and Holden (2001: 542) when they claim that, in this method employees are assessed in a hierarchical manner or from best to worst.

2.6.1.2. Forced-choice distribution

According to Latham & Wexley (1994: 76), in this kind of method the appraiser is forced to choose from four sets of behaviour normally referred to as traits which best describe the subordinate. Grobler et al. (2006: 272) concur when they state that in this type of method supervisors are expected to spread their evaluation or ranking in a prescribed format. Beardwell and Holden (2001: 542) concur and state that performance levels are ranked according to predetermined distribution. The mathematical importance of the relationship to outcome is hidden from the appraiser to ensure that the process is objective.

The appraiser is only required to choose one item from the menu provided. The menu has two good and two bad behavioural criteria. The appraiser does not know which one of the two is more important than the other one, only human resource department has such information. Favouritism or biasness is thus reduced.

2.6.1.3. Paired comparison

According to Grobler et al. (2006: 272), this method requires that subordinates be paired in their comparison and choose one of them, usually the best. This is supported by Beardwell and Holden (2001: 542) when they claim that individuals are paired up and an individual who has been rated the best is selected. Van der Waladt (2004: 264) supports this definition of

paired comparison and claim that it involves comparing one employee with each and every employee and rating each as either weak or superior.

2.6.2. Narrative methods and category rating methods

2.6.2.1. Critical incidents and essay method

This refers to the recording of all incidents that are important and that include both good and bad incidents. Van der Waldt (2004: 264) declares that critical incidents involves the consideration of critical incidences that constitute effective performance or the opposite thereof. Beardwell and Holden (2001: 542) concur and they claim that the appraiser should keep both employees' positive and negative results that take place during an agreed review period. Grobler et al. (2006: 273) concur and claim this method is more a job-related exercise as it looks at critical incidents as far as work is concerned. Carrell et al. (1997: 275) wrote that this is a checklist of critical incidents. This requires that the supervisor and the subordinate keep record of critical incidences and be rated according to them. That means how much weight those incidences are carrying. As a result, it is required that the appraiser keep a record of all critical incidences that occur during a stipulated period. This is may be done in an essay method which involves writing an essay format what the performance of an employee is and spelling out the bad and the good performances of an employee.

Performance-based methods are those that are based on predetermined performance standards such as the objective method and or the behavioural anchored rating scales, (discussed under section; 2.6.3.1. Behaviourally anchored rating scales below), for example, results based. Grobler et al. (2006: 268) state that only work performance and "not the individual should be judged".

2.6.2.2. Graphic Rating scale

Grobler et al. (2006: 270) state that this method, graphic rating scale, requires that the employee be rated on an attribute or piece of work that an employee has performed. This used to be based on personal traits, for example, cooperation and friendliness but that has since changed and is now on work behaviour and outcomes.

2.6.2.3. Non-graphic rating scale

According to Grobler et al. (2006: 270) this is the opposite of graphic rating scale as discussed above. It requires that a brief description be given for each point instead of simply grading the performance such low or high as determined by the scale, that is, graphic scale. This means that the rating and the description on a particular attribute, for example, dependability and attitude, can be compared

2.6.3. Behavioural /objective methods

This section will be examining the behavioural rating scales namely the behavioural anchored rating scales and behavioural observation scales.

2.6.3.1. Behaviourally anchored rating scales

Van der Waldt (2004: 264) claims that behavioural anchored rating scales involve combining critical incidents and graphic rating scales and rating takes place in items on a numerical scale. According to Grobler et al. (2006: 274) this type of method is using scales that are evaluative and only evaluate performance on those that are important to the job. Behaviourally anchored rating scales are often referred to as “bars” and are sometimes referred to as “bes” (behavioural expectation scales) and different behaviours can be interpreted differently at times. Latham and Wexley (1994: 78) concur and state that “An employee’s work might be considered as “outstanding” by one supervisor and only “acceptable” by another supervisor”. They think that a solution to that is to use exemplifying categories referred to as “anchors” such as:

- Excellent or very good;
- Average or satisfactory; and
- Poor or below satisfactory.

An appraiser is allowed to declare notes about an employee’s behaviour and then rate the employee by using behavioural anchors such as those stipulated above. Beardwell and Holden (2001: 542) concur and state that this method looks at job behaviour and describe it in terms of “high” or “moderate” or “low” performance. Van der Waldt (2004: 265) refers to it as “individual ranking” which he describes as involving the listing of employees from highest to lowest employees in terms of performance.

2.6.3.2. Behavioural observation scales

Behavioural observation scales, often referred to as “BOS” involves the collection of behavioural statements that are related to the object, for example, cost and observation and rating of employees according to a five-point scale, for example, the frequency with which each employee engages in such behaviour. The five point scale often called “the Linkert-scale” according to Latham and Wexley (1994: 86) ranges from “almost never” to “almost always” that is from zero to four and the allocation of percentages is show below:

- 0 = 0 - 64%
- 1 = 65 - 74%
- 2 = 75 - 84%
- 3 = 85 - 94%
- 4 = 95 - 100%

This requires collection of incidences and forming them up into behavioural items. Similar items are grouped together, , for example, incidences about counselling and communication and relevance of the items are examined. Carrell et al. (1998: 267) supports this and state that this kind of method starts off from “very unsatisfactory” to “excellent “behaviour” or “performance”.

2.6.4. Mixed Standard scales

Mixed standard scales shortened as “MSS” is also hidden from the appraiser that is the performance criterion that is being evaluated. This is almost like Forced-choice scale where the appraiser is only expected to only respond to presented behavioural items, that is, if performance is better or positive or is equal neutral or is worse or negative to the behavioural item. Like Forced-choice scale it reduces halo and leniency rating errors.

2.6.5. 360 Degree appraisals

According to van der Walddt (2004: 264) 360-degree feedback provides perspective on an employee’s performance by obtaining feedback from a full range of people with whom an employee interacts. This is supported by Beardwell and Holden (2001: 543) when they state

that this requires feedback from a wide range of people, such as, customers on an employees' performance.

2.6.6. Combination methods

According to Grobler et al. (2006: 276), it is not unusual to adopt a combination of performance appraisal methods. They state that some institutions combine the essay method and management by objective.

Having examined the different methods on how performance appraisal can be done that necessitates that the principles of performance appraisal be reviewed and that will be done in the next section.

2.7. Principles of performance appraisal

The principles of performance appraisal almost follow the same way as the stages of performance appraisal. This is confirmed by Kirkpatrick (2006: 2) when he state that performance appraisal starts off by explaining what will be expected of an employee. This should be followed by the actual appraisal where effectiveness of an employee is judged through an interview. At the end of an appraisal interview a performance improvement plan should be produced and it should outline the plan on how underachievement in the identified areas is going to be dealt with. Mentoring in those areas should take place to ensure that achievement in those areas takes place.

During the execution of the process of performance appraisal some rules have to be borne in mind. That is because the process of performance appraisal has certain principles to uphold in order that the process remains objective. These principles will be discussed below as taken from van der Waldt (2004: 146) and other sources:

- Orientated towards results: According to van der Waldt (2004: 146), the process of performance appraisal should be "orientated towards results". That means that performance appraisal should be results driven. Grobler et al. (2006: 264) emphasise

that the need for performance appraisal should be understood and accepted by the managers.

- Performance agreement: According to van der Waldt (2004: 146) there should be an agreement between the supervisor and the subordinate on what needs to be done. This agreement in the work place is captured in a formal “performance agreement” and should be signed by both parties. Grobler et al. (2006: 264) state that there should be guidelines that are clearly defined and agreed upon by all team members. They further say that both supervisors and supervisee should accept and acknowledge that by signing the agreement with their subordinates. That will render performance assessments during reviews and at the end of the performance cycle as “valid, balanced and fair”.
- Openness: the whole process of performance appraisal should be transparent to the parties concerned. This is supported by Grobler et al. (2006: 264) when they declare that the whole process should be transparent and should be “openly challenged and defended”.
- Fairness: According to van der Waldt (2004: 146) there should be “fairness”: performance appraisal should be fair so based on performance agreement and not aimed at punishing subordinates. Grobler et al. (2006: 264) concur and state that the way results and rewards are managed in the organisation should strengthen the process of performance appraisal in a consistent and constructive way.
- Objectivity: performance appraisal should be done to measure performance and not to measure personality.
- Achievability: According to Grobler et al. (2006: 264) there should be measurable and achievable targets that add value to the organisation.
- Understanding: According to van der Waldt (2004: 246) all parties should be clear, that is, being clear on what is expected from them. This includes expectations surrounding performance, required tasks, required standards of performance, location of necessary resources and support of the organisation’s vision.
- Executive should not be excused: Executive should be appraised too so that they improve in what they do.

- Appraisal should be done according to policy: Appraisal schedule should be done according to the policy that has to be agreed upon by the stake holders such as the employer, employee and the unions.

Good performance appraisal principles are not sufficient to guarantee good performance appraisal in an organisation. There needs to be buy-in and support from management. Grobler et al. (2006: 264) emphasise this and state that performance appraisal in its entirety should be owned and driven by top management. These principles, if properly applied, should bring about good results in terms of performance appraisal.

It does not matter how an organisation holds on to the principles of performance appraisal, if there are other problems such as, problems with staff shortage, this cannot bring about the desired results, that is, improved performance. Burkholder, Golas and Shapiro (2007: 84) warn against use of performance appraisal to compensate for the following:

- Workforce shortage; and
- Organisational work flaws

They claim that performance appraisal alone cannot bring about ultimate performance nor can it change the culture of an organisation. Principles are informed by law and the next section will be looking at the legal implications of performance appraisal.

The previous section looked at the principles of performance appraisal and that makes it necessary to then review the legal implications of performance appraisal in the South African public sector context specifically.

2.8. Legal Implications

It is the researcher's opinion that the legal implications of performance appraisals should be carefully considered. This is supported by Latham and Wexley (1994: 8) who believe that the performance appraisal process should be started bearing all of the relevant legislation in mind. They refer to it as the "reviewing of the legal requirements".

According to Latham and Wexley (1994: 10) it is because of a litigation explosion that organisations have received enormous pressure to ensure that their performance appraisal procedures are supported by not only good business practices but also that they are legally defensible. Smither (1998: 49) states that “to say that the importance of legal issues in performance appraisal has skyrocketed in recent years would be something of an understatement”. This shows how important the legal aspect of performance appraisal has become. “The performance appraisal process represents a legal communication to an employee and should be supported by objective reasoning” (van der Walddt, 2004: 240). That means observable and measurable things such as; attendance registers, quantities or numbers seen and or errors made could be used to measure performance. This refers to being objective for example, referring to initiatives, trustworthiness and consistency. It can be subjective as well, that is, taking into consideration opinions for example what they think of their own performance and being fair. The later is not easy to measure and has big potential for biasness.

So performance appraisals have to be legally sound. This is supported by Van der Walddt (2004: 257) when he states that according to Kinicki and Kritner (1989: 218) for performance appraisal to be legally defensible the following criteria should be satisfied:

- The appraisal system should be developed through job analysis;
- Standards of performance appraisal should be developed and provided to all supervisors;
- Supervisors should be given training on how to use the measuring tool;
- Appeal mechanisms should be developed and should allow review by upper level management;
- Performance rating should be objective , for example, ratings should be supported by examples of behaviour; and
- Employees should be afforded an opportunity to improve their performances through feedback /counselling and guidance for correction of their performances.

The Constitution of the Republic of South Africa, 1996 supports this idea as it reserves the right for all to a fair labour practice and this is amongst others, inclusive of performance appraisal. According to Grobler et al. (2007: 277-267) legislation relating to the Constitution

of the Republic (1996), labour relations (1993) and the employment equity have had influence in many human resource issues such as promotions and pay decisions. Murphy and Cleveland (1995: 89) show that when they declare that performance appraisal provides a basis for the deciding who should be promoted terminated, given a raise and so forth". These laws will be briefly discussed below citing their relevance and examples.

2.8.1. The Constitution of South Africa

The Constitution of the Republic of South Africa, Act 108 of 1996, Section 23(1) reserves a right for all to "fair labour practice". This would include fair performance appraisals of employees without bias.

2.8.2. The Labour Relations Act

The Labour Relations Act, Act 66 of 1995, section 185 states that "every employee has the right not to be unfairly dismissed". That means that when dismissing an employee on the grounds of poor work performance, that has to be done within the parameters of fairness. That refers to both procedural and substantive fairness.

2.8.3. The Employment Equity Act

The Employment Equity Act, Act 9 of 1998 as amended in 2000 section 6(1), stipulates that "no person may unfairly discriminate, directly or indirectly, against an employee, on any employment policy or practice, on one or more grounds, including race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV, status, conscience, belief, political opinion, culture, language and birth" (RSA, 1999: section 6(1)). All employees should be fairly assessed when assessing employees' performance. The criteria used to assess should not be discriminatory and should be examined to rule out unlawful discrimination.

2.8.4. Public Service Regulations

According to van de Walddt (2004: 247) various departments are required by the Public Service Regulations (1999) to develop their own performance management and

development policies. According to him these departments are required to align individual performance to organisational goals. The Department of Public Services and Administration (DPSA) has taken this a step further and developed a guide in this regard. The guide is called “The guide on Performance Management and development” (GP 5/7 30) with a view to assisting the departments in the public sector to developing sound performance appraisal systems.

According to the Public Service Regulations document all departments such as the Department of Correctional Services are required to “...manage performance management in a consultative, supportive and non-discriminatory manner...” Policy Procedure: Performance and Career management (2008; 4). This is done so that departments could become efficient, effective and accountable in terms of utilising resources and achievement of results. This means that performance management should be linked to the department’s strategic plan and should be developmental if it is to achieve the intended results.

Having looked at the law around performance appraisal, it becomes necessary to examine problems with performance appraisal which the next section will be doing.

2.9. Problems with performance appraisal

There can be a number of problems with performance appraisal if they are not implemented properly, for example, it can create problems such as negativity with their subordinates and result in bad performance. Grobler et al. (2006: 265) state that, performance appraisal results, if not properly conducted or implemented, can be devastating. Poor performance appraisal conduct or management leads to bad actions by subordinates and brews bad attitude towards these managers and work. This is manifested in high turnover rate and absenteeism.

According to the researcher performance appraisal can improve employee’s motivation if done effectively and appropriately. In many public sector departments performance appraisal are not done properly. This is almost uniform in the public sector as said by van der Waladt (2004: 241) when he declares that many public institutions performance of performance appraisals are satisfactorily done, referring to them as leaving much to be

desired. This is concurred by Engelmann and Roesch (1997: 1) when they claim that in many organisations performance appraisal processes are seen as seriously flawed and they do not meet the expectations of line managers and that of ordinary employees. Grobler et al. (2006: 263) concur with that when they claim that a “bleak picture” is painted by a study by the University of Stellenbosch Business School on how performance is being managed and rewarded in South Africa.

Latham and Wexley (1994: 138) state that there are errors that take place when supervisors assess subordinates and they refer to these as rating errors. According to Grobler et al. (2007: 277-278), problems include the following:

- Leniency where managers become lenient, giving everyone high points without taking into consideration performance;
- Strictness where managers become strict, giving everyone low points without taking into consideration performance; and
- Halo effect where managers use one incident to cloud up everything else positively or negatively. Kirkpatrick (2006: 50) concurs and he claims that Halo effect: constitutes a situation where in one good or bad action by subordinate, clouds up everything else that the employee has done. That is positive when it is a good action or negative effect if it is bad action respectively. Kirkpatrick (2006: 50) takes the halo effect error further when he claims that the halo effect takes place in a number of ways and these are described as:
 - a) Effect of past record: because employee performed excellently previously that is assumed to be still the case. That is working on assumptions instead of facts.
 - b) Compatibility: supervisors or assessors tend to rate people who are compatible with them in a good way, for example, people with good manners or personalities, , for example, over scoring those who get on well with them.
 - c) The one asset person; a person with usually irrelevant attributes tends to be rated more than other employees, , for example, a rugby player playing for the national club working as a prison warder could be easily scored more than other employees who do not have this reputation or status.

- d) The blind-spot effect: this refers to those areas which the supervisor fails to take note of as they are like his own one, for example, extra time taking may not be seen as a problem by the boss who does the same.
- e) The high potential effect: managers sometimes tend to concentrate more on what is on the paper than what has actually been done on the ground and this is sometimes the opposite. For example, with incident writing sometimes a lot of bad performers are good writers. They are very creative when writing their incidents and end up getting high points and getting the rewards for good performance whereas they are in reality not good performers and should therefore not be entitled to the rewards. However, because concentration is more on what is on the appraisal tool than what has actually been done, good writer often end up benefitting.
- f) The no-complaints bias: refers to the supervisors treating the no news as good news , for example, by giving good marks to the employees who do not complain

Latham and Wexley (1994: 138) concur and add that “the most common rating errors include contrast effects, first impressions, halo, similar-to-me judgements, central-tendency errors, and positive and negative leniency”. Similar-to-me judgement is the same as the compatibility as described above. Halo is also as described above under “halo effect”. Leniency as well is the same as leniency as discussed above except that, there are two that is negative, that is, giving everybody low points and positive leniency , that is, giving everybody high points without necessarily considering performance.

These problems will be explained below:

- Contrast-effects: refers to the tendency of appraisers to appraising individuals in comparison with other individuals than the requirements of the job; and
- First-impression: takes place when a supervisor when one incident positively or negatively clouds up everything else that the employee has done and they take that particular incident to justify their rating, positively or negatively, , for example, doing very well once and then not so well but being justified as good.
- Central tendency: refers to when employees are all evaluated as being of average performance

Recency or primary effect or Recency error: that is the tendency to remember only the most recent performance of the subordinate because it is an easy thing to do or remember. Performance evaluations are supposed or most commonly are done at intervals of six months to a year. Kirkpatrick (2006: 50) supports this and claims that the most recent outstanding performance could set a mediocre standard for the whole year. According to the Public Services Staff Code subordinates are supposed to be evaluated at least quarterly to avoid the latter point. This is one of the work procedures that are decided according to the Public Service Act of 1994 as reflected by Gildenhuis, Fox & Wissink (1991: 50).

According to Grobler et al. (2007: 277-278), some managers see performance appraisal as an opportunity to make themselves look good and even to try and avoid any confrontation with or by subordinates by resorting to the above practices. This happens especially if performance appraisals are not properly monitored and evaluated. Latham and Wexley (1994: 138) state performance appraisal results in retention, promotion, demotion, transfer or termination of non-deserving people.

Kirkpatrick (2006: 50) claims that there are reasons for these problems and those will be discussed in the following sections.

He states that there are causes for these problems such as discussed below:

- The manager who is a perfectionist: , for example, just because the supervisor is a perfectionist he or she develops high expectations of subordinates and they end up given lower scores by the supervisor;
- The employee is contrary: the manager score the employee less because the employee always disagrees with the manager on certain issues;
- The oddball effect: , for example, the oddball gets low points because they are different;
- Membership in a weak team: a well performing employee is given lower points or rating because he is in a weak team;

- The guilty-by-association effect: employee who is not really known to the supervisor is judged and given low points because of who he or she associates with;
- The dramatic–incident effect: a recent bad incident or good could cloud well past good incidences;
- The personality-trait effect: a reserved or passive employee is rated low by the supervisor because he or she does not associate with the supervisor; and
- The self-comparison effect: a person who performs the job that supervisor used to do is sometimes rated low because the supervisor knows the job so well or that the supervisor hates the person who has come up with these changes.

According to Kirkpatrick (2006: 50), most supervisors often become lenient or strict and thereby following the strictness or leniency effects as discussed above depending as an easy way out. This means that most managers never score their employees fairly and according to their performance.

This is taken further by the following statement that “a negative performance appraisal can directly affect an individual’s employment status” (Latham & Wexley, 1994: 10). That means, to the declarer’s interpretation, that even dismissal could be caused by an improperly applied performance appraisal. Latham and Wexley (1994: 1) also state that poor performance appraisals do not bring about the desired outcomes but rather the opposite. They claim that performance decreases for up to twelve weeks before and after a poor appraisal. If properly applied performance appraisal is supposed to increase performance. They further say that it is rather unfortunate that is the case as performance appraisals are very important for the effective management of human resource of an organisation and should affect positively employees’ productivity. Latham and Wexley (1994: 7) declare that “performance appraisal instrument is as good as the people that use it”. That means accurate observations on significant aspects of an employee’s performance on the job are necessary to enhance effective appraisal. There have to be ways to reduce these problems and the section below looks at some of these.

Given the described problems with performance appraisal, the final section of this chapters explores ways to limit these problems.

2.10. How to limit performance appraisal pitfalls

Problems with performance appraisal have to be limited as far as possible. According to van der Walddt (2004: 269) the following could help to limit or avoid potential problems with performance appraisals:

- Performance appraisal agreements should be kept as simple and as clear as possible. This is to enhance understanding between the parties so that they have mutual understanding of expectations.
- Indicators and targets of performance should be treated with care and there should be equal understanding of the targets and the fact that evaluation will be based on the achievement of these targets.
- Most of the basic framework of performance should be primarily developed by the employee - the supervisee should show understanding of the process of performance appraisal in his or her job, that is, the process should be made as understandable as possible.

Dialogue, development and learning should be based on the agreement but this should not be used to exercise management control, , for example, allocating rewards. This should be properly done as “No matter how clear the objectives, how precise the measurement or how meaningful the feedback, if there is no linkage to rewards then performance will not be maximised” (van der Walddt, 2004: 259):

- Delegation should be done effectively;
- Conditions of responsibility should be created;
- Disagreements and conflicts should be constructively dealt with;
- Focus should be on long and short term developments; and
- Sanctions should be the last resort.

Moon (1997: 24) however, states that the following ingredients are necessary to make appraisals work:

- Committed appraisers: that means that people who believe that performance appraisals are useful and are willing to invest in the process to make them work.

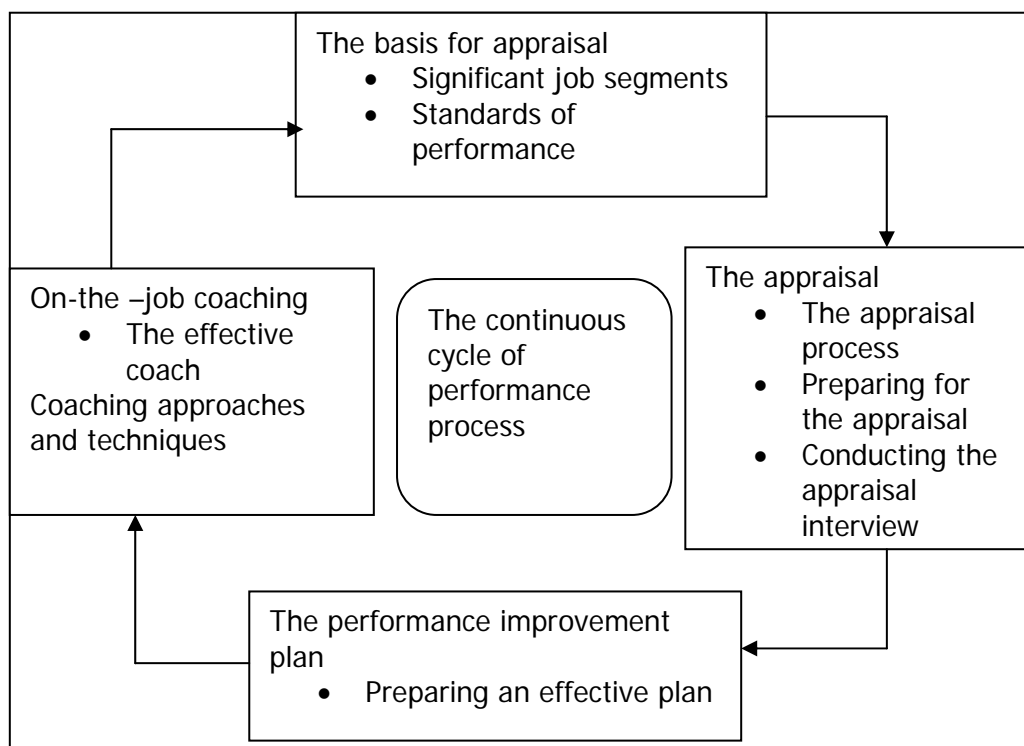
- Committed subordinates: that means the process of performance appraisal should be made to be as fair as possible. This is so that subordinates could begin to buy in to the performance appraisal system. According to Moon (1997: 24) subordinates who believe that performance appraisals are worth doing do their best to support the process.
- Skilled appraisers: Performance appraisals need supervisors who are trained in doing performance appraisals in order that they become accurate in analysing performance and allowing constructive criticism. This is supported by Grobler et al. (2007: 277-268), when they declare that performance appraisers should be adequately trained in carrying out performance appraisals that are accurate and constructive and not destructive.
- Understanding subordinates: Subordinates should be trained through workshops on how performance appraisals should be conducted so that they properly understand the process and its objectives. This is supported by Kirkpatrick (2006: 6) when he states that training of the employee should be done in order that what is expected is shared, , for example, by imparting skills, knowledge as well improving attitudes towards performance appraisal.
- An appropriate performance appraisal system: an appraisal system that is objective and operating effectively in measuring performance that is work related and user friendly. Burkholder et al. (2007: 86) concur when they claim that performance appraisal system should measure targets that are measureable and clear to all parties and they should be mindful of mission of the organisation.

According to Grobler et al. (2007: 277-268), if the following points are considered that will help reduce problems with performance appraisals:

- Regular, written and timeous performance appraisals should be done for all employees at all levels. This is supported by Kirkpatrick (2006: 1) when he notes that performance appraisal could reach its target, that is, improved performance when it is a continuous process and he represents that process in Figure 2.1. below (Kirkpatrick, 2006: 1)
- Checking of ratings of performance appraisals should be done regularly to check against rate errors such as leniency.

- Problems with performance appraisals should be properly structured and documented.
- Specific goals and time frames within which to achieve improvements in such identified problems should be stated.
- Sufficient opportunity should be given to employees to react to negative appraisals.
- Access to performance appraisals should be limited to those in management positions.
- When considering dismissal based on poor performance of work a trend may have to be brought in that is looking at past performance appraisals to see if inadequacies were properly documented and the employee afforded an opportunity to make up for such deficiencies.

Figure 2.1: Performance cycle process



Source: Kirkpatrick (2006: 1)

For performance appraisal to be done well in terms of law there are other things to be considered and those include those issues that were identified as principles of performance appraisal such as job analysis and training on how to use performance appraisal measuring tool. Grobler et al. (2006: 264) state that some compliance in law that relates to

performance appraisal is needed. For example, before an employee is dismissed for poor work performance, it has to be ensured that procedural and substantive fairness is concerned proof is based on performance appraisal. That means that performance appraisal could provide a legal reason for such a dismissal only if it is done well enough or legally sound as far as the law is concerned.

According to Grobler et al. (2006: 268) legally sound performance appraisal can only be achieved if the following are guidelines are adhered to:

- Doing appraisals on time: To start with performance appraisal should be done regularly for all employees and not backdated and adjusted to a later time or date. This is supported by Carrell et al. (1998: 264) when they declare that written appraisals "...should never be backdated or altered at a later time"
- Training of appraisers: Grobler et al. (2006: 268) and Carrell et al. (1998: 264) states that all appraisers should be properly trained in as far appraisals are concerned , for example, that performance appraisal must be "truthful, candid, but constructive and not malicious"
- Consistency and objectiveness of appraisers: Managers should be consistent, and objective in doing performance appraisals. Only work performance should be assessed and not the individual as a person should be assessed. Carrell et al. (1998: 264) states that appraisal of employees should be "...related to essential functions of the job".
- Guarding against biasness: According to Grobler et al. (2006: 268) the appraiser should not be biased and the organisation should guard against that. Carrell et al., (1998: 264) concur and say that human resources should review supervisor's ratings in order to guard against errors such as central tendency, harshness and leniency and others.
- Identification of problem areas: Areas of improvement should be clearly documented.
- Goals clearly stipulated: Specific goals with timelines as far as these problematic areas are concerned should be established.

- Affording an opportunity to appeal negative scores: According to Grobler et al. (2006: 268) all the appraised personnel staff should be afforded an opportunity to challenge negative appraisals.
- Confidentiality should prevail: Carrell et al. (1998: 265) claim that access to performance appraisal results should be limited to those in management
- Continuity should be allowed: Performance appraisal should be linked with past performance appraisals to ensure that informed decisions are made.

The process of performance appraisal should be as fair as possible so that problems with performance appraisal could be overcome. If the process of performance appraisal is adhered to as outlined in Annexure A by Grobler et al. (2006: 263) this could bring better results.

2.11. Conclusion

This chapter defined performance appraisal and performance management. The objectives, the process, who does performance appraisal, the methods of performance appraisal, the principles of performance appraisal as well as the legal implications problems and how to limit performance appraisal pitfalls we discussed in this chapter. This brings us to the following conclusion that there is a general acceptance that good performance appraisal is necessary for the good performance of an organisation. It is important that the performance appraisal process is applied very well in an organisation as this will bring about the achievement of the stated objectives of the process. The process of performance appraisal in a diagrammatic form as shown by Grobler et al. (2006:263) is shown in annexure A.

The importance of applying the principles performance appraisal described above cannot be overemphasised as that will bring about a legally defensible performance appraisal system and less challenges with performance appraisal.

The next chapter outlines the performance appraisal process that is in place in the DCS and shows how these principles should be applied in this practical situation.

Chapter 3

Performance management system for DCS employees

3.1. Introduction

Having discussed the theoretical way of doing performance appraisal and with focus of the study being the perceptions of performance appraisal in the Department of Correctional Services, it becomes necessary to examine how the Department does its performance appraisals. Firstly, the sources of the Department's performance appraisal will be examined. Definition of performance management as well as performance appraisal, the purpose, guidelines, principles thereof will be examined. The actual process of performance appraisal as it relates to DCS, the rating scale that DCS uses as well as who should be involved in performance appraisal will also be discussed in this chapter.

3.2. Legislation relating to performance appraisal

Provisions for performance management evaluation and guidelines are made under section 9(G) and 19(2) of the Correctional Services Act No 111 of 1998 as amended in 2002 and Part Viii of the Public Service Regulations and were effectively implemented from 1 July 1999. Other important sources include; Public Services Staff Code, Chapter B, Departmental Bargaining Chamber Resolutions and Departmental policy which were communicated by means of letters and fax.

The pay-progression has played a pivotal role in the formation of performance appraisal in the Department of Correctional Services. The pay progression which was put in place by the Department of Public Service and Administration in 2000 has necessitated that the DCS improve its performance appraisal system. This applies to all employees between salary levels 2 – 12, that is from the most junior production employee to the director in the public service.

Pay progression can be summarised as follows:

- A certain amount of performance has to be produced before a person could qualify for 1% increase in annual salary for the employee.
- This evaluation has to take place at the end of a performance cycle and has to be signed for by both the supervisor and employee.
- If no agreement could be reached between the employer and labour, according to resolution 9/2001 the employer could assign 1% of wage increase in term of pay progression system. This brought about 12 salary levels and introduced 16 salary notches. This means that employees shall be in one rank for 16 years receiving 1% every year for 16 years before going over to the next rank.
- This 1% was supposed to be calculated per rank or salary of an employee.
- According to Guidelines for Handling of Promotions, DCS only employee who scores more than 65% will get 1% salary increase per year for 6 year and only those employees who get 75% and more qualify for merit bonuses.

Therefore it becomes clear that performance appraisal in DCS is used mainly for salary increase and merit award. Promotions are linked to performance appraisal. The next section explores specific guidelines for conducting performance appraisal in the DCS, given the importance of this process in informing promotion and merit bonus decisions.

3.3. Guidelines for DCS performance appraisal

This section will examine how the Department of Correctional Services conducts its performance appraisal. The DCS has its own guidelines that it uses to guide its performance appraisal system. Accordingly the Guidelines for Handling of Promotions (2000: 1) are based on the policy outlined in the public services staff code Chapter B, Departmental Bargaining Resolutions and the Departmental Policy which is communicated means of letters and fax transmissions.

There are further guidelines that are found in the User Guidelines Performance Management and Development System for DCS Employees , Levels 2 – 12 (PMDSE – E) (2008) which should be used as a performance management tool by employees, supervisors,

moderating committees and other higher line managers. The Performance Management Booklet for DCS Employees - Salary levels 2 to 12 (2008) further provides guidance as to how performance management is to be done in terms of what to include such as Bathos Pele principles, calculating score etc. These guidelines are discussed in more detail below.

3.4. Defining performance management and appraisal in DCS

According to the User Guidelines (2008: 3) performance management in DCS requires employees between April of the current year to March of the following year to agree with their supervisor on what they should do and achieve. According to the Guidelines for Promotion (2000: 3) performance appraisal refers to the process of identifying the qualifying individuals for merit awards during a performance cycle in accordance with the promotional requirements stipulated in Item 11 of the different Personnel Administration Standards. This has to take place at the end of the performance cycle and it starts off with performance agreement and performance reviews. This follows other processes such as performance agreement, work plan and performance reviews. According to the Performance Management Booklet (2008: 6) those include outlining of expectations of the both parties, continual assessment and monitoring of performance of the supervisee during the performance cycle and the evaluation of a supervisee's achievement of set targets and determining the means to reach these targets if they are not met.

3.5. Purpose of performance evaluation

According to the Guidelines for Handling of Promotions (2001: 1 - 3) the purpose of personnel assessment in the Department of Correctional Services is to determine the competence of personnel and also help in the following way:

- Determine promotability to the next rank and predict performance in the higher rank.
- Determine if an employee is deserving of a merit award.
- Establish if an employee needs transfer or placement to another department. And

- Determine training and developmental needs of an employee more so if they are underachieving.

3.6. Process of performance appraisal in the DCS

According to the Public Service Regulations, 2001, the Department of Correctional Services like other departments of the public sector is allowed to develop its own performance management. Part Viii of the Public Services Regulations determines that all departments such as Correctional Services are to manage performances of their employees and in accordance to the ways which will be discussed later in this section. According to the Guidelines for Handling of Promotions, DCS (2001: 9) that is before 2008, there used to be two assessments and then the appraisal and that used to be done in the following way: According to the Guidelines for Handling of Promotions, DCS (2001: 10) the first term review during the fourth month, April, and then the second term review during the eighth month, August. The final or annual assessment is conducted during March of the following year which includes a completed “pen sketch”, a document that is presented to the moderating committee, as motivating incidences document for the marks that have been assigned to the employee. This document is moderated and then a letter of feedback is given with final mark assigned to the employee and that is followed by the letter of feedback with incentive allocation.

The Department of Correctional Services used to have moderating committees whose requirement was that they be gender and race representative. Supervisors were required to be present their subordinates to this committee. The committee completes the moderation sheet.

After 2008 there has to be one assessment taking place in October and this is referred to as midterm review. This has to be supplemented by five to six meetings distributed before and after the midterm review.

The last assessment, appraisal is done in March before the start of a new performance cycle in April. Presentation to the moderating committee is the same, with the only exception now being that presentation has to take place in the presence of the subordinate. Labour/ trade unions are required to be involved and present as an observer as per resolution 2/2002. Minutes of the presentations are to be recorded. Final marks are allocated and then approved by the area commissioner and regional merit committee that is from salary levels 2 – 12. It is after this approval that feedback letters with final scores are given and then followed by the incentive allocation feedback.

If performance is not satisfactory, according to the Performance Management Booklet (2008: 13) then the process goes into management of unsatisfactory performance which includes introduction of a performance improvement plan. The process ends off with the final assessment, which takes place in March of the following year (User Guidelines, 2008: 3). All of these will be elaborated upon to a greater extent in the section below.

There is time that is allowed to do these evaluations and they have to be done during this time otherwise they will be invalid. According to the Performance Management and Development System for DCS Employees (2008: 3) which refers to this period as “performance cycle” and during this time the whole process of performance appraisal should take place. This is also supported by the Performance Management Booklet (2008: 9). This time factor or performance cycle will be discussed below.

3.6.1. The performance cycle

The Department of Correctional Services performance appraisal system describes performance cycle as a period of twelve months starting from beginning of financial year to end of the same financial year. According to the Performance Management and Development System for DCS Employees (2008: 3) performance cycle refers to the period from the 1st of April of a particular year to the 31st of March of the following year during which performance agreement, coaching on the job and performance measurement and recognition of output will take place as stipulated on the performance agreement signed between the supervisor and the supervisee. This is made all possible and easy by the

presence of job a description which will be briefly discussed before turning to the performance cycle.

Job descriptions are a key requirement for a successful performance appraisal system. According to the Guidelines for Handling of Promotions, DCS (2001: 6) a “job description describes what an employee does and what the employer expects from him or her in a particular post”. The job description links individual performance with specific organisational objectives. According to the Guidelines for Handling of Promotions, DCS (2001: 5) performance management evaluation is to make sure that the vision and strategic business of the Department of Correctional Services are achieved and that is done in a coordinated manner. This is done as indicated by the Minister of the Department of Correctional Services and other stakeholders such as the Deputy Minister, National Commissioners, Chief Deputy Commissioners, Regional Commissioners and Area Commissioners. This takes place during strategic planning sessions and directs the performances of the department in order to achieve efficiency and effectiveness of the Department of Correctional Services. The strategic plan becomes a basis for provincial business plans that are taken from the National Plan. Performance agreements of directors such as Regional Commissioners and Area Commissioners are linked to these provincial objectives. This is done by conveying these provincial objectives to these directors by using their job descriptions.

It is from this job description that key responsibility areas are deducted and job descriptions should at least have the following elements:

- Job title or job identification;
- The name of the person whom the incumbent must report account to;
- Goals and objectives an employee should achieve;
- Relation of incumbent’s job to the broader work environment or organisation; and
- Key performance areas or duties or tasks that are required of an employee with specific elements or functions which such an employee should see to.

According to the Guidelines for Handling of Promotions, DCS (2001: 7) supervisors are responsible for compiling job descriptions for their own subordinates. Job descriptions for employees performing the same job will be the same but those of others doing different

duties such as nutritional services will be different. These job descriptions should be given to each employee on resumption of duty. They are likely not to change every time as some duties are generic in nature, for example, escorting inmates to outside services such as, specialist. However, this should be reviewed annually in order that strategic plans are accommodated.

Key performance areas are taken from the job description of the incumbent or the job description. This refers to the areas wherein the incumbents' performance will be ultimately measured or evaluated.

The performance management cycle of the DCS can be discussed in eleven parts, starting with the identification of key responsibility areas and ending with an appeals process. Each part is subsequently discussed.

3.6.1.1. Key responsibility areas (KRA) according to rank

According to the Guidelines for Handling of Promotions, DCS (2001: 7) identifying KRAs is made easier by the fact that they are generated from the job description. According to the Performance Management and Development System for DCS Employees (2008: 6) and the Performance Management Booklet (2008: 6) KRAs refer to the supervisor's expectations of their subordinates and the continuous monitoring and assessment of the subordinate, for example, , discussing incidences for varying levels of performance. However before this takes place, there has to be an agreement made on what these expectations and standards that is to valid for a year from April to the end of March the following year. These key responsibility areas vary from 5 to 8 depending on the rank of the incumbent. That means that the higher the rank or salary levels the more the key responsibility areas.

To be specific as to how much KRAs / General Assessment Factors (GAFs) which are explained in the next section, per salary level, refer to the following table as taken from the Performance Management Booklet (2008: 6).

Table 3.1: Allocation of key responsibility areas

Salary level	Number of KRA/GAF
Salary levels 2 – 7	5 KRA/GAF assessed on
Salary levels 8 – 10	6 KRA/GAF assessed on
Salary levels 11 – 12	8 KRA/GAF assessed on

Source: User Guidelines: Performance Management and Development System for DCS Employees (2008: 9)

3.6.1.2. Performance assessment linked to Batho Pele Principles

According to the Performance Management Booklet (2008: 6) the key responsibility areas should be linked with the Batho Pele Principles (putting people first) which warrants that employees show commitment and courtesy when servicing the public. The public services users should be redressed when the services are falling short of what they should be. This means that public servants should be servicing the public with pride and ensuring value for money. Public servants should be providing information, openness and transparency to the public services users. This is what the General Assessment Factors (GAFs) refers to. The time frames in which those key responsibility areas (KRAs) are to be met are to be clearly stipulated as should their standards. These are areas that an employee is assessed on at the end of the time period. An example of how this assessment will be done is summarised below in the form of a tabular format.

Table 3.2: Performance assessment made up of KRAs and GAFs

Key responsibility areas/ KRAs						Generic Assessment Factors/GAFs				
1	2	3	4	5		1	2	3	4	5
Description of KRA , for example, Administration of drugs to patients						Description of GAF , for example, Knowledge of job				
Self assessment score	1	2	3	4	5	1	2	3	4	5
Assessment score by supervisor	1	2	3	4	5	1	2	3	4	5

Source: Performance Management Booklet for DCS employees (2008: 14)

These two areas of assessment such as the key responsibility area and generic assessment areas should equal to 100%. The KRAs and GAFs' proportionality should go according to rank. , for example, for salary levels 11 and 12 the KRA should account for 75% and GAFs 25%. For salary levels 8, 9 and 10 KRAs should account for 65% and GAFs for 35%. For those at the production level KRAs and GAFs should account for 50% each. At the end the total is totalled up and multiplied by its weight. See the following example that is used for salary levels 2- 7, that is, production. Both KRA and GAF should be totalled out of 100 and then added to form final assessment score.

Correctional services performance appraisal seems to incorporate Batho Pele principles, "putting people first", very well but how it is accommodative of what the labour laws require and this is discussed under legal considerations in page 31 under heading 2.8.

Once this link has been made there has to an agreement in how all of these have to be done or achieved and the next section will discuss the signing of performance agreement and the personal work plan as the actual start of the process of performance management process.

3.6.1.3. Signing of performance agreement and personal work plan

The process of performance management in DCS is continuous and it starts off with an agreement at the beginning of the year, User Guidelines (2008: 3). Key responsibility areas are identified. These areas are identified and agreed upon by parties, supervisor and the supervisee. This is made easy by the fact that most of these responsibility areas come from the job description, expectations of a job or job holder. The signing of performance appraisal should not be ignored only to be backdated at a later date.

According to the Performance Management and Development System for DCS Employees (2008: 3) the Department of Correctional Services needs the performance agreement to be completed and signed in April of every year between the supervisor and the supervisee and production of personal work plan on how what is stated on the performance agreement will be handled. This means that the description of the objective of a post as per job description should take place. Essentially this refers to what is expected of an employee occupying a

certain position. According to the Guidelines for Handling of Promotions, DCS (2001: 12) annual performance assessments are only valid if the job description, performance plan agreement and results of term reviews are attached. This is supported by the Performance Management Booklet (2008: 6) when it states that performance should be measured according to the information that is contained in the personal work plan relating to the key responsibility areas and the generic assessment factors. Added in this new performance plan is the result of the previous annual year's performance evaluation results. Meetings are held in October and April to continue the assessment process.

This is a situation whereby both the supervisor and the subordinates discuss their objectives and their contribution to the department. This includes the development of key responsibility areas of employees. This should lead to the development of performance plans and performance agreements. This is good in that the employee will know from the onset what performances they will be assessed upon.

3.6.1.4. Supervisees doing their self-assessments

According to the Guidelines for Handling of Promotions, DCS (2001: 7), during the periods before 2008, supervisors were responsible for compiling employees' assessments. Unlike before 2008 where supervisors used to declare everything about employees' performance assessments, according to the Performance Management and Development System for DCS Employees (2008: 8) supervisees have to do their own self assessments and motivations and they have to be reminded by means of communication, to ensure that they complete their part in time. The supervisees have to declare and provide comprehensive reports to their supervisors supported with facts. That means that supervisees assesses themselves and allocate points per key responsibility areas and motivations for the points that are allocated. This applies to only the midterm review and the appraisal at the end of the year. Meetings between the supervisor and the supervisee have to be organised or scheduled and the following section will be looking at these scheduled meetings.

3.6.1.5. Scheduled meeting for performance review

According to the Performance Management and Development System for DCS Employees (2008: 8) there has to be a meeting between both parties. According to the User Guidelines (2008: 9) only general feedback is given during this stage and rating done and limited to Key Responsibility areas and motivation done for each point but performance is not generally quantified, that is, overall percentage is not given. This is referred to as the compulsory meetings will be summarised below.

3.6.1.6. Compulsory meetings

There should be a series of meetings between both parties before and after the Midterm review. Preferably, there should be three before and three after the first review. It is compulsory to have five meetings before the final assessment according to User Guidelines (2008: 10). These meetings pertain to monitoring of performance and communication giving feedback. According to Performance Management Booklet (2008: 10) these meetings should focus on incidents of non performance or as a way to congratulate commendable achievement. The compulsory meetings are held before and after the midterm review which be discussed below.

3.6.1.7. Midterm performance review

This is sometimes referred to as “midterm review” and should take place in October according to the User Guidelines (2008: 8). During this stage the supervisee has to assess and score themselves out of 5 on each Key Responsibility Areas and Generic Assessment Factors.

Motivating why they each score should be done. Following that both parties have to meet and the supervisor assesses the subordinate according to the same guidelines and has to give feedback on these.

If employees are underachieving at this stage that is they are getting under 65 % there has to be a management of that underperformance and the details of that will be discussed below.

3.6.1.8. Management of unsatisfactory performance

According to the Performance Management and Development System for DCS Employees (2008: 13) unsatisfactory performance, refers to those employees whose scores are less than 65% who are not even afforded an opportunity to undergo the final assessment process but rather be managed in what is regarded as the “management of unsatisfactory performance”. The new performance management of the Department of Correctional Services employees requires that the unsatisfactory performance be managed in the following way according to User Guidelines (2008: 13):

- Causal factors should be identified: that means factors which hindered the employees performance from becoming adequate should be adequately stipulated.
- Corrective steps to remedy inadequacy: performance improvement plan should be developed by the supervisor with the employee to try and improve performance.
- Regular meetings held: to try and bring about more interaction between the supervisor and the supervisee. There have to be at least six compulsory meetings in a twelve month period between the supervisor and the supervisee in an effort to monitoring progress towards set targets with a five performance discussions.
- Report on the progress of the supervisee: the supervisor should report on the progress that is made towards the realisation of set targets.

Management of this unsatisfactory performance is a “...personal assistance plan to guide remedial action which address existing gaps in the officials’ performance.”(User Guidelines, 2008: 15).

The final stage of the process of performance management in DCS is the performance appraisal or the final assessment which will be discussed in the next section.

3.6.1.9. Final assessment should done for all employees in DCS

This should take place at the end of performance cycle and should be preceded by the midterm review as stated above. According to the User Guidelines (2008: 9) the supervisee does his or her own assessment first in the same manner as the midterm review or assessment. The supervisor then discusses the incidences with the supervisee and seeks to

agree on the score or simply rating the supervisee. According to the User Guidelines (2008: 9) the two have to agree on the points, failing which the supervisee could dispute that and take it up with the next level of management. This has to be dealt with before the normal process could be followed, and allows only seven working days according to the User Guidelines (2008: 9). This means that, if there has been a dispute there has to be resolution of that first before the assessment of that could be done by the moderating committee. According to the User Guidelines (2008: 13) only those who have been scored 65% and more can be assessed by the moderating committee.

For those individuals who score 65% and above, the following documents should be presented to the moderating committee:

- Performance plan agreement - This is the document wherein an agreement is made in as far as the key responsibility areas are concerned and it is these areas in which evaluation will take place.
- Performance assessment forms - These are the forms where in the actual assessments are done according to the Key Responsibility Areas as agreed on the performance agreement between the parties.
- Incidences - This is the detailed report of incidences in accordance to the Key Responsibility Areas. It is in terms of these KRAs that incidences will have to be produced explaining the impact that subordinates have made. These incidences or impact thereof will be given a value indicating how well they have done in these areas.
- Previous annual assessment results – results from the previous year are also taken into consideration - This refers to the previous year's assessment results of an employee. This is so that a tract of employee's performance is kept and that consistency or inconsistency could be noted.
- Recommendations based on the outcomes of annual performance review -This means that what the parties agreed upon.

The moderating committee listens to the presentation and then gives both verbal and written feedback to the employee and the supervisor. If the employee is not satisfied with

the score or mark, the employee is afforded an opportunity to appeal the score. Remoderation is done and final mark is given. The chairperson of the committee gives all the scores to the Area or Regional commissioners for moderation, approval or remoderation. Subsequently after the committee has satisfied the commissioner and received approval, the chairperson issues feedback letters to all employees moderated. Depending on the feedback employees may qualify for a merit award or not. Only performance that is outstanding is rewarded. And then a new cycle begins.

If the employee did not do so well, management of such performance has to be done and the employee has to be afforded an opportunity to appeal the outcome of such an evaluation. Management of unsatisfactory performance as well as appealing assessment results will be visited below. This should be done for all salary levels. That is from salary level 2 to 12 which means, from lowest level employee to the most senior manager.

It is following this stage that the moderating committee does its own evaluation of the individual employee incidences and then make the necessary recommendations. This process will be examined in the next section.

3.6.1.10. The role of the moderation committee

According to the Performance Management and Development System for DCS Employees (2008: 11- 12) supervisors are responsible for submitting performance management documents to the moderating committee. Both the supervisor and the supervisee should appear before this committee during presentation and they are excused briefly while the committee discusses and scores the supervisee. They are recalled to the meeting to be given verbal feedback by the chairperson and without allowing arguments or discussion of the moderating committee's recommendations. Those recommendations should be adopted by senior management or referred back for remoderation before their adoption. A written feedback from the chairperson is then given to all those appraised, thereafter rewarding of outstanding performance will take place. There are certain things that are supposed to be fulfilled by the moderating committee and those will be briefly looked at below.

The moderating committee must be appointed in writing by the Regional Commissioner. Members appointed in these committees must have completed at least two years in the Department of Correctional Services and should be trained for the purpose of moderation. They have to sign confidentiality agreements and the code of ethics as another requirement to be in the moderating committee.

3.6.1.11. Appealing of assessment results afforded

If subordinates are not satisfied with the results of their assessments by the moderating committees they can appeal the results. According to the User Guidelines (2008: 13) a period of ten days is afforded to those who want to take advantage of this opportunity. According to the User Guidelines (2008: 13) if by the end of the seven days the employee is still not satisfied with results, then such as employee should be advised to follow the grievance procedure through line management to allow further investigation into the case.

The Department of Correctional Services is fair in its application of PA and hence it allows redress through appealing of results. This is why DSC has adopted principles in pursuing the performance appraisal process and these principles will be discussed below.

3.7. Principles of performance appraisal in the DCS

The personnel assessment task is very demanding which should be based on logical principles together with sound judgement and objectivity and transparency. Performance evaluation is done in order to support the core business of the Department of Correctional Services, which is to provide safe custody and rehabilitation of its clients, the inmates under its care. This cannot be separated from the department's vision which is to deliver or serve with integrity, humility and its commitment to service excellence. It is therefore important that supervisors are acquainted with the performance assessment procedures process and the principles of performance appraisal.

According to the Manual on Personnel Performance Management (2000: 5), Part Viii of the Public Services Regulations determines that all departments such as Correctional Services

are to manage performances of their employees and in accordance to the ways which will be discussed below.

According to the Manual on Personnel Performance Management (2000: 5), the DCS undertook to do its performance management evaluation in a transparent, consultative, supportive and non-punitive manner with the purpose to enhance efficiency and effectiveness of its service delivery:

- The system has to be participatory of its employees;
- Standards of performance have to be agreed upon by stakeholders;
- Performance monitoring that is consistent should take place with regular feed back to the employees;
- Corrective actions should be taken as determined by the performance and outstanding performances should be rewarded;
- Signing of performance agreement and review assessments should not be ignored only to be backdated at a later date; and
- According to the Performance Management and Development System for DCS Employees (2008: 11) all employees in the employment of DCS should be assessed at all levels within the organisation.

The above principles have to be honoured to ensure that fairness prevails in the process of performance management and appraisal in the Department of Correctional Services. Just who should be honouring these principles or who should be involved in performance appraisal in DCS will be discussed in the next section.

3.8. Who should be involved in performance appraisal in DCS

According to the Performance Management and Development System for DCS Employees (2008: 3 - 14) the people involved should be the following:

- a) The employee: the employees are required to do their own self-assessments before they meet with supervisors.

- b) The supervisor: supervisors should make sure that all details provided in the prescribed forms are being completed fully and accurately and should be signed for by the supervisor.
- c) Moderating committee: they do evaluations of the categories for which they are selected
- d) The line managers: when there is a dispute in the way in which the supervisor has scored the supervisee and there is objection and no agreement with the score given, the next level manager should give their input within seven days. If the supervisee is still not happy with the results of that manager the supervisee should be pursue grievance procedure

Having looked at who should be involved in the performance appraisal of the Department of Correctional Services, it makes it necessary to stipulate how the rating of performance in performance appraisal should be done and that will be shown in the next section.

3.9. The rating scale used by DCS

Who should be involved in performance appraisal in DCS was discussed in the previous section but what rating scale should they be using will be discussed in this section.

According to the User Guidelines (2008:8) the type of rating scale that is used to score the employees in the Department of Correctional Services is the 5 point rating scale. According to the User Guidelines (2008: 9) the supervisor scores and gives marks from 1, that is, not well at all to 5 which is representative of very good or excellent performance. This is in terms of both KRAs and GAFs as discussed in page 49 under the sub-section - Performance assessment linked to Batho Pele Principles. The moderating committee follows suit. That means on completing and scoring the final performance measurement the supervisor must present the incidences of their subordinate to the moderating committee and the committee scores or allocates marks or points. The score that is allocated is the deciding score on whether the employee will qualify to get a merit bonus or not.

Firstly, Category 1: that is, one point is given when the supervisee is not meeting the set standard. Secondly, Category 2: that is two points are allocated to the supervisee when the supervisee is meeting some of the expected standards but does not meet everything. Thirdly, Category 3: that is, three points allocated when the supervisee or appraisee is meeting the set standard fully, that is meeting everything as set. Fourthly, Category 4: that is, four points are allocated when the subordinate is meeting more than what is being set. That is, performing more or higher than 100%. And lastly, Category 5: that is, five points allocated when the performance exceeds significantly what is expected of the subordinate. This is shown in the form of a table below as taken from Manual on personnel performance management (2000: 12) as summed up from the Performance Management and Development System for DCS Employees (2008: 12).

This is illustrated below in a form of a table. See the following table

Table 3.3: The previous interpretation of performance ratings

1	2	3	4	5
Unsatisfactory performance	Satisfactory performance	Good / Average performance	Above average/outstanding performance	Excellent performance
below 55%	56% - 64%	65 – 74%	75% - 84%	85% and higher
Unacceptable performance	Acceptable but does not meet set standard	Employee meets set standard and expectation 100%	Employee exceeds expectations with significant impact on his section/ or division	Employee exceeds with a significant impact on the management area/ province / department
Needed is management of such poor performance	Plan to manage satisfactory performance	Needs to acknowledge room for improvement	Appraise and encourage to excel his performance , that is, still room to	Needs to sustain such performance

and definition of developmental needs			make even more better	
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Source: Performance Management Booklet for DCS employees (2008: 27)

During performance assessment that is the final, category 1 and 2 are not considered by the moderating committee and instead management of underperformance is done. It is only from category 3 and upwards that they are moderated by the moderating committee.

This has and is replaced by the following table as taken from the Performance Management Booklet (2008)

Table 3.4: The applicable and current interpretation of performance ratings

Category (Rating)	No	Performance Category Description	Percentage bands for production levels 2 - 7	Performance bands for levels 8 – 10	Performance bands for MMS levels 11 – 12
1		Performance does not meet standard	0 – 65%	0 – 65 %	0 – 65 %
2		Performance meets some of the standards expected	66 – 99%	66 – 99%	66 – 99%
3		Performance fully meets standard	100 – 125%	100 – 126%	100 – 124%
4		Performance significantly higher	126 – 145%	127 – 143%	125 – 140%
5		Performance far	146%+	144%+	141%+

	exceeds the standard			
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Source: Performance Management Booklet for DCS employees (2008: 27)

Interpretation remains the same as the former performance table. That means that category 1 will not be presented to the moderating committee and management of unsatisfactory performance is necessary for this category of performers. Everybody from category 2 to 5 will be presented to the moderating committee. The more the percentages in terms of score the better the chances for merit bonuses.

The more the levels such as salary levels increase that are from 2 to 12, the more the key responsibility areas in which employees are assessed upon increase, which means that greater the salary, the more responsibilities they will have.

3.10. Conclusion

This chapter reviewed the way in which DCS is supposed to handle its performance appraisal. It did that by examining the laws around performance appraisal as well as how DCS defines performance management and performance appraisal and the departments' understanding of the purpose of performance appraisal as it relates to DCS. How rating is supposed to be done when scoring performance as well as who should be involved in the process were also discussed in this chapter. The process of performance appraisal and its principles were also examined in this chapter. To conclude it is evident that the Department of Correctional Services is doing its performance appraisal to satisfy its intended purposes which includes merit bonus awards. Salary increases are also dependent on this process. The department has no clear promotion policy in place since its three year automatic policy was suspended by Resolution 2/2002.

Whether or not the ideal way in which DCS expects its performance appraisal to be done is does take place, will be investigated in the next chapter.

Chapter 4

DCS Performance appraisal investigation

4.1. Introduction

The previous chapter outlined the process of performance appraisal in the DCS. This chapter will investigate the perceptions of participants in the process. It will also explore alternative criteria that may influence the perceptions of participants, such as experience, ranking, place of work, training of personnel and time intervals between training. This chapter will also explore the impact of how performance appraisal is done in DCS. The perceived shortcomings of the performance appraisal process and what can be done to improve it will also be examined in this chapter. This chapter commences with a discussion of the questionnaire used as research instrument to gather the information presented in this chapter.

4.2. Research instrument

A survey research study which aimed to investigate the perceptions of staff in the Department of Correctional Services on performance appraisal and obtain suggestions on how the process can be improved has been done using questionnaire as research instrument. A questionnaire comprising qualitative and quantitative sections was designed and distributed for self-administration amongst selected participants.

The questionnaire comprised the following sections: Section A dealt with data related to demographics. Section B looked at the staff perception of performance appraisal in DCS and justification of their perceptions. Section C looked at how information about performance appraisal was given and if it was given at all. Section D looked at the challenges of performance appraisal and the effects thereof. Section E looked at how DCS staff thought performance appraisal could be improved. The questionnaire is included as Annexure A and will be used in DCS employees as the population for the study.

4.3. Population

The population of this study comprises 504 DCS employees. The sample frame was applied for those stationed in the Western Cape, Metro District Goodwood prison including Bellville Community Corrections branch. A total number of 101 employees from all categories of staff at these facilities were be used in the study. Each of the subjects is affected by performance appraisal and should have some perception and possibly recommendations.

The breakdown of the composition of staff categories currently working in Goodwood prison and Bellville Community Corrections is shown in the table below:

Table 4.1: Sampling according to ranks

Staff Category/ Rank	Number of employees in this rank category	Employees in this rank as percentage of total organisation employees	Number of employees included in sample from each respective rank	Percentage of employees included in sample from each respective rank
Director / ACs	1	0.1%	1	100%
Deputy Directors	6	1%	2	33%
Assistant Directors	17	3%	4	24%
SCOs/ Senior Correctional Official	35	7%	7	20%
CO I /Correctional Official Grade 1	192	38%	38	20%
CO II /Correctional Official Grade 2	114	23%	22	19%
COIII/Correctional Official Grade 3	139	28%	27	19%

Source: Compiled by the Researcher, M.D. Binza, 2011

The number of individuals sampled was determined by the number of a particular group/ category in the organisation such as shown above. , for example, , 27 CO IIIs (Junior Correctional Official/ Correctional Official Grade 3) who comprise about 28% of the total organisation were used as shown in the table above. The same was done for all the categories. The researcher aimed to take 20% on each rank as to make the group representative. However, the lower were more represented than the upper ranks and hence more people were involved in the upper ranks to try and remedy the balance. , for example, there was only one director and that one had to be taken (100% participation from the rank). And there were only 6 Deputy Directors and two of them had to be taken (33% participation from the rank). With the lower ranks, for example, there were 139 COIII and only 27(19% participation from the rank) of them had to be taken. This means there were adjustments made such as referred to above.

4.4. Sample

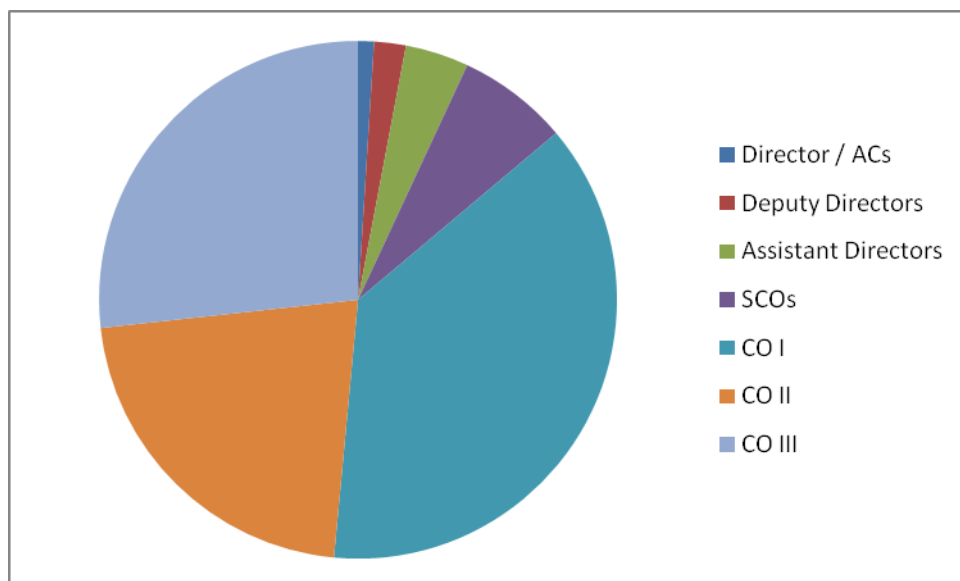
The sample consisted of individual from all departments, such as finance, logistics, nursing, education, social working, human resource, personnel, transport, cafeteria, and sections, units where prisoners are kept. All employees from the Goodwood prison and Bellville Community Corrections formed part of the research population, and a sample of 101 (20%) was drawn from the 504 employees in the study population.

A list of names from all the departments was drawn with the assistance of personnel and human resource departments. All names per category from all departments were grouped in containers and randomly drawn until the number was full as determined by the group size/ composition thereof in the facility or total number as shown in the table 4.1 above. All possible subjects were identified and grouped per category, for example, all CO Is (Junior Correctional Official/ Correctional Official Grade 1); CO IIs (Junior Correctional Official/ Correctional Official Grade 2) grouped together. These names were randomly drawn until a particular number per rank was made, for example, 27 CO IIIs. This was done for all the categories from all departments as shown in the table above such as education, human resource, finance, health, prison warders, management, laundry, transport and other departments. This hoped to bring a wealth of information from both experience and new

ideas as well from all staff levels. Each group or rank per department where applicable, with the assistance of human resource development staff were given questionnaires to complete.

The size sampled per category was proportional to the size in the organisation as a whole as shown in table 4.1 below and this can be taken note of in the following pie graph:

Graph 4.1 Rank representations in the study



Source: Compiled by the researcher, M.D. Binza, 2011

The participants were asked to complete the forms within two days and to return when they were finished to the Human Resource Development Department/staff.

Only 67% of the respondents responded by completing the questionnaires and 33% failed to complete and return theirs. That means over half of the questionnaires were completed and returned the pattern was the same as representation and exceeded half of the questionnaires distributed. Anything more than 50% of sampled total is sufficient and can be regarded as representative of the total group.

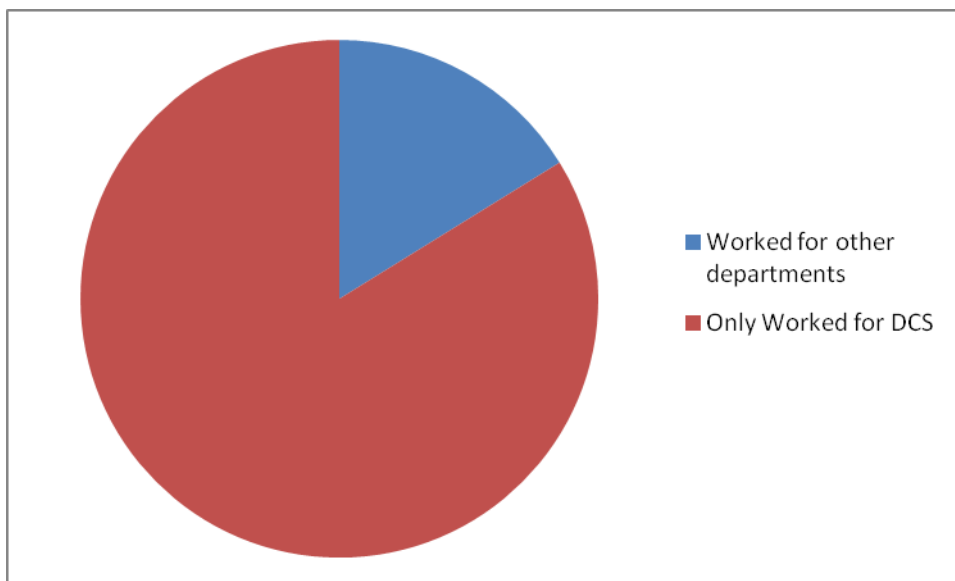
4.5. Analysis of questionnaire responses

This section will provide the data from the administered questionnaire for each question included in the questionnaire. Section A comprised the following questions, with the respective answers obtained from the respondents.

4.5.1. Have you ever worked in any other department other than Correctional Services in the public sector in South Africa?

In trying to establish if some of the respondents were bringing experience from other public sector departments it became evident that 16% of the respondents had actually worked for other departments other than DCS. A resounding 84% had worked for DCS as their first public department. This is represented in the following pie graph:

Graph 4.2: DCS experience versus combination of other public sector experience



Source: Compiled by the researcher, M.D. Binza, 2011

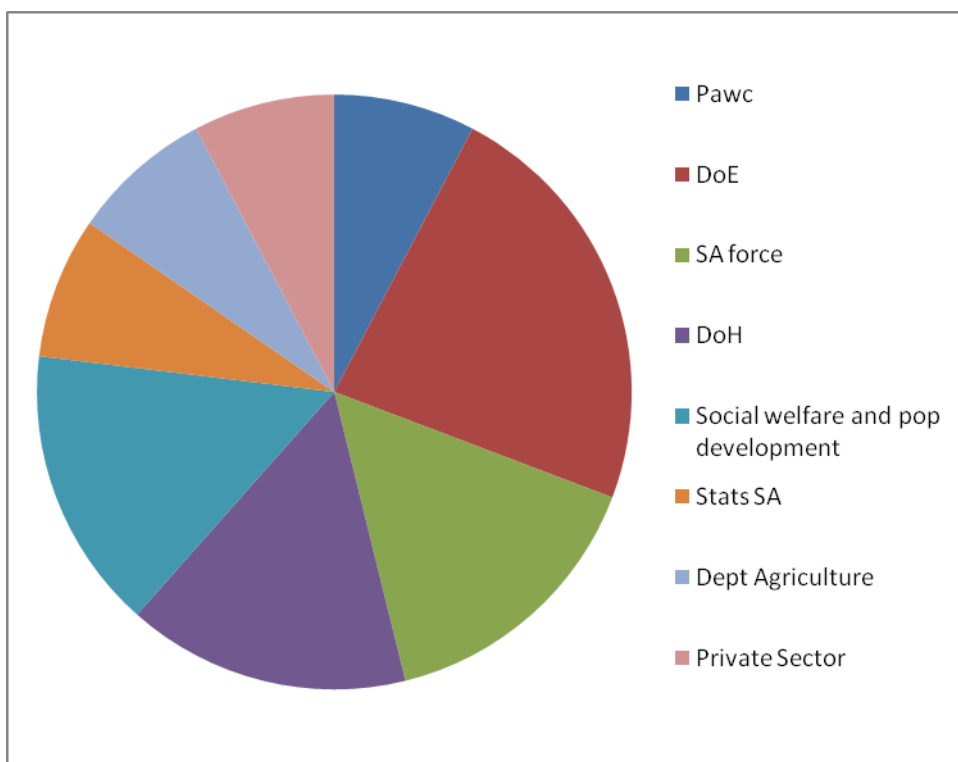
4.5.2. What is the name of department you have worked for?

In establishing what those departments were that it became evident that 16% of the respondents who answered question no 1 had worked for other departments. These departments include; the Department of Education (DoE), the Department of Health (DoH), the Department of Social Welfare and Population Development, Statistics South Africa, the Department of Agriculture, the Provincial Administration of Western Cape (PAWC) and the

South African Air Force (SAA Force). Three out of the fifteen respondents had worked for private sector and did not suppose to answer this question. This means, a small number of respondents had experience from other departments that they could compare the DCS' procedures with. This also means, the largest portion of respondents have only been exposed to the DSC procedure.

A clear representation of this group who have worked for other departments other than DCS is shown in the following pie graph with PAWC representing 8%, DoE representing 25%, SAA Force representing 17%, DoH 17%, Department of Social Welfare and Population Development 17%, Statistics South Africa 8% and the other 8% representing people who have worked for private sector who should not have answered the question.

Graph 4.3: Individual public sector experience brought to the study



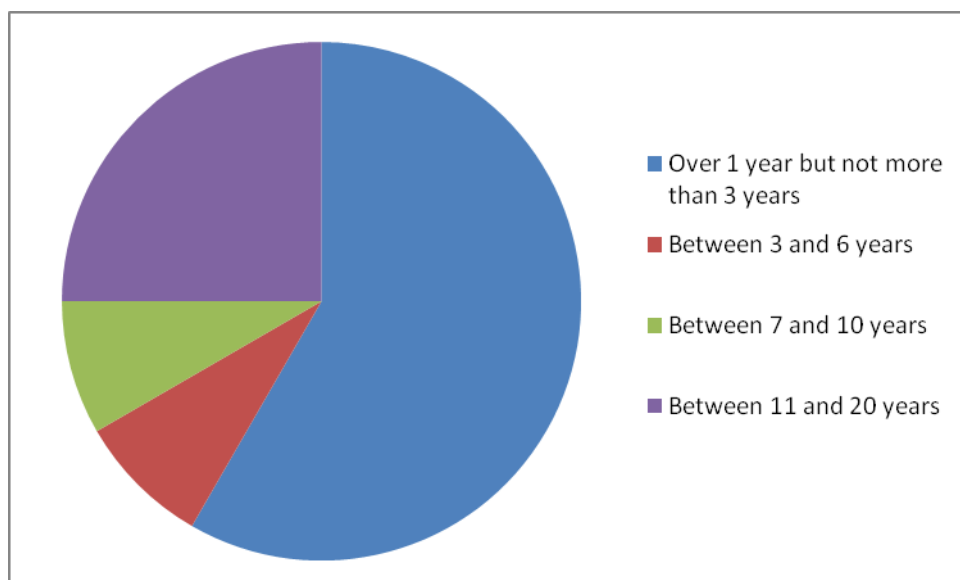
Source: Compiled by the researcher, M.D. Binza, 2011

4.5.3. How many years did you work in this department mentioned above?

Of those who had other experiences other than from the Department of Correctional Services 58% had between one year and three years from their previous departments. 25%

of them had experience of between 11 and 20 years and 8% brought an experience of between 3 to 6 years with them. The remaining 8% brought to them an experience of between 7 and 10 years with them. For a clearer picture refer to the graph below:

Graph 4.4: Number of years spent in other departments other than DCS



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.4. How many years have you worked in the DCS?

In establishing general experience in the public sector particularly DCS experience, it appeared that only 13% of the overall respondents brought experience of between one year and 3 years with them into the study. 16 % of the respondents brought with some worthy experience of between 3 and 6 years. 15% brought with them an even worthier experience of between 7 and 10 years. An overwhelming 31% brought with them an even more worthy experience of between 11 and 20 years of DCS experience to the study. The remaining 25% brought about experience of more than 20 years.

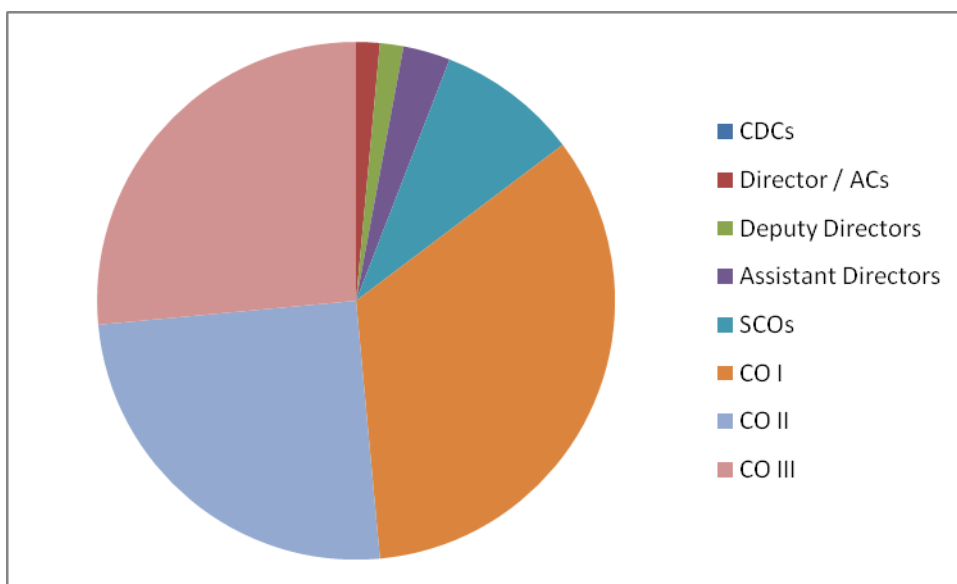
4.5.5. What is your rank?

Only 1% of the respondents were directors and another 3% of them were deputy directors. That means that 4% of the respondents were senior managers. 3% of the respondents were assistant directors. 9% of these respondents comprised of senior correctional officers and 12% of the respondents were junior managers. A large 34% of them were senior correctional

officials. 25% were category II of correctional officials. And 25% of them were junior correctional officials. This is clearly depicted in the following pie graph below.

According to the researcher's opinion the more senior the participants the more the more the value that was brought to the study, as a result of experience that can be associated with their seniority.

Graph 4.5: Rank representation in the study



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.6. How many years have you been in your current position?

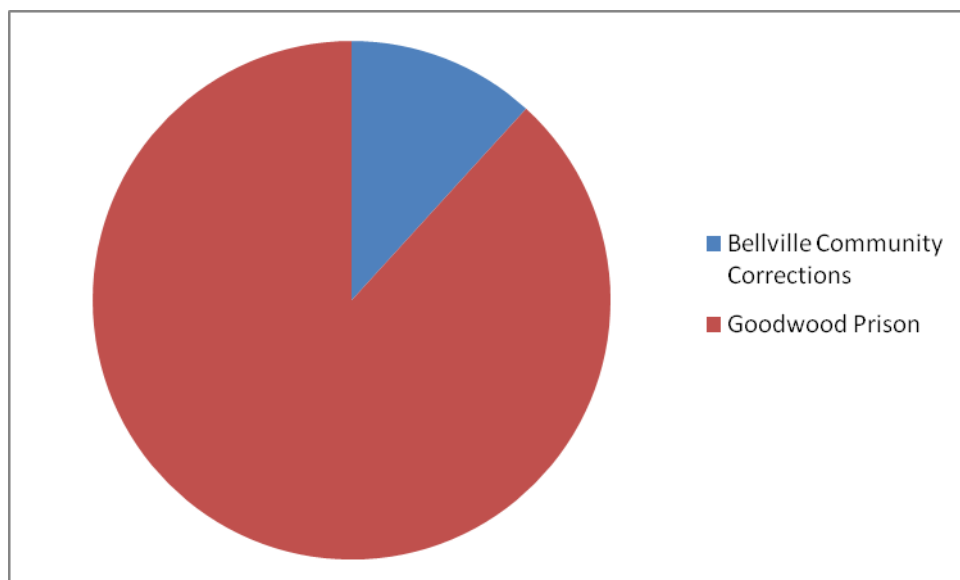
In terms of the number years in their current ranks 28% of the respondents were more than 1 year but not more than three years in their current ranks. 35% of the respondents were between 3 and 6 years in their ranks. 12% of them were between 7 and 10 years in their ranks. 16% of them were between 11 and 20 years in their ranks. And 7% of them were more than 20 years in their ranks and the remaining 1% did not specify how many years they were in their ranks. This means that there were no really newly appointed members in terms of their ranks who participated in the study. 72% of the participants were between 3 years and more than 20 years in their ranks which is believed to have brought experience into the study. The remaining 28% were still more than 1 year but not more than 3 years.

Section B comprised the following questions, with the respective answers from the respondents.

4.5.7. Could you indicate which area/prison/management area you are working at?

In terms of their basis only 12% of the respondents were based in Bellville Community corrections and the remaining 88% of them were based in Goodwood prison. This can be seen in the following pie graph below:

Graph 4.6: Areas of study representation in the study



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.8. How many years have you been working in this facility?

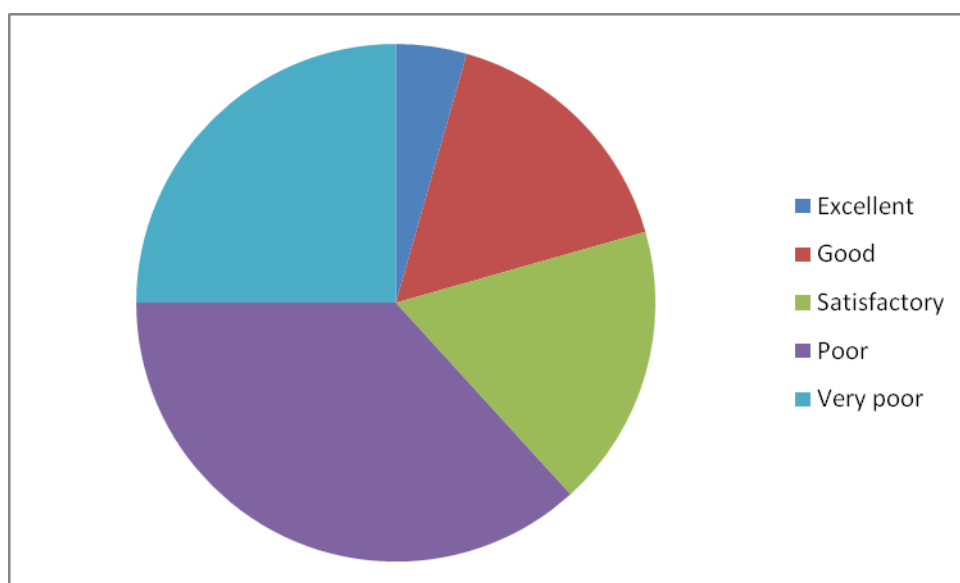
In terms of how long they have been working in their centres 28% of them were more than 1 year but not more than 3 years in their areas. 22% of them were between 3 and 6 years in their areas of work. 18% were between 7 and 10 years in their facilities. 31% of them were between 11 and 20 years in their facilities. And only 1% of them were over 20 years. This means that in terms of how their facilities were functioning these respondents in terms of their experiences in their areas of work were in a better position to know how the system work and this is also thought to have brought worthy of experience to the study. 74 % of

them were between 3 years and more than 20 years. And 26% were more than 1 year but not exceeding 3 years in their areas of work.

4.5.9. How would you rate performance appraisal as done in the Department of Correctional Services?

In evaluating their views on how they perceived performance appraisal was done in the Department of Correctional Services it was found that only 4% of the respondents thought that it was done excellently, 16% thought that it was done well and 18% thought that it was done satisfactorily. A large 37% expressed that it was done poorly and 25% thought that it was done very poorly. This means that only 38% are satisfied with the performance appraisal process.

Graph 4.7: Rating of performance appraisal in DCS by participants



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.10. What are your reason/s why you have rated the Department of Correctional Services' performance appraisal system?

On asking for the reasons for their rating of performance appraisal in DCS, 8 % of the respondents stated that the relationship between the supervisor and the supervisee, for example, ill-treatment of subordinates by supervisors were the causes for their rating. 4% of the respondents felt that supervisors were not supervised in this regard and 22% expressed

that supervisors were not being fair and give high points to their favourites. Surprisingly 6% reflected that this was being made a racial issue. These respondents felt that a lot of supervisors were looking after their own racial groups.

A further 6% expressed that documents used were not user friendly and as high as 13% thought that managers and to some extent subordinates were lacking training and 3% thought that they were lacking insight into the whole performance appraisal. 5% felt that it was more about writing than performance and that writing of incidences was not an appropriate means of deciding who should get a reward.

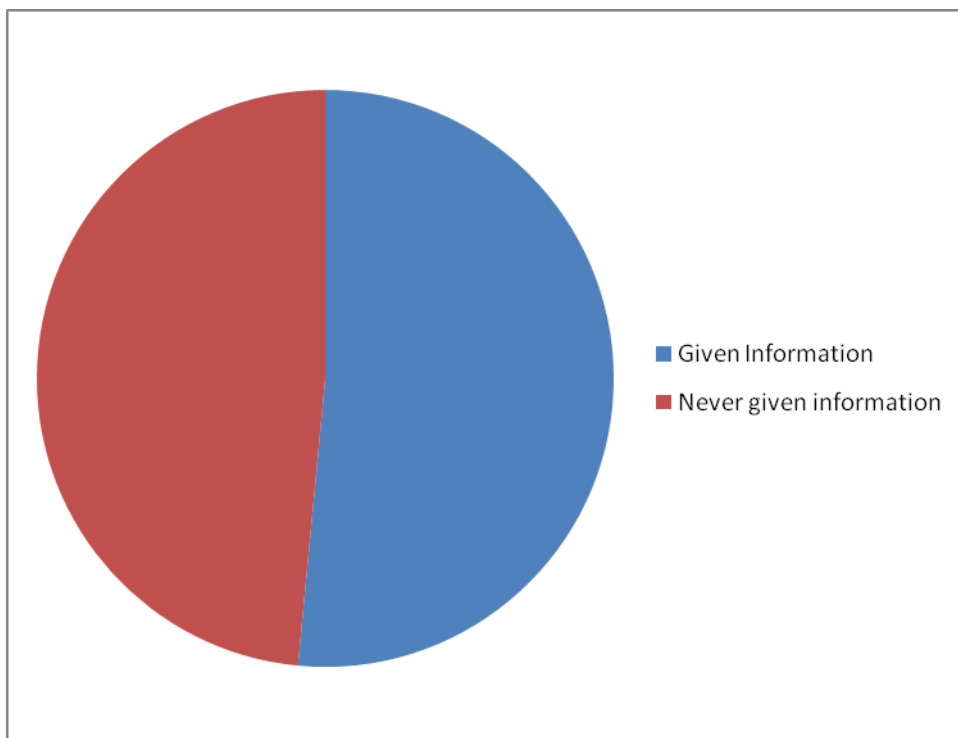
Only 5% stated that performance appraisal in DCS was done according to policy while 9% answered that their rating had nothing to do with supervisors but with the moderating committee. They felt that the moderating committee was not as representative of the organisation as it should be. About 14% failed to justify their ratings. And 1% felt that the whole process lacked transparency while 4% felt that supervisors were using the performance appraisal to get back to members.

Section C comprised the following questions, with the respective answers from the respondents.

4.5.11. Have you ever been given information, for example, during induction/ orientation or basic training or workshop on how performance appraisal is done in the Department of Correctional Services?

Almost half the staff had received some information about performance appraisal either during their induction, orientation, basic training or workshop. Specifically 52% of these respondents were informed about performance appraisal. 48% of the respondents never received this information. This can easily be seen in this pie graph that follows:

Graph 4.8: Information possession by participants

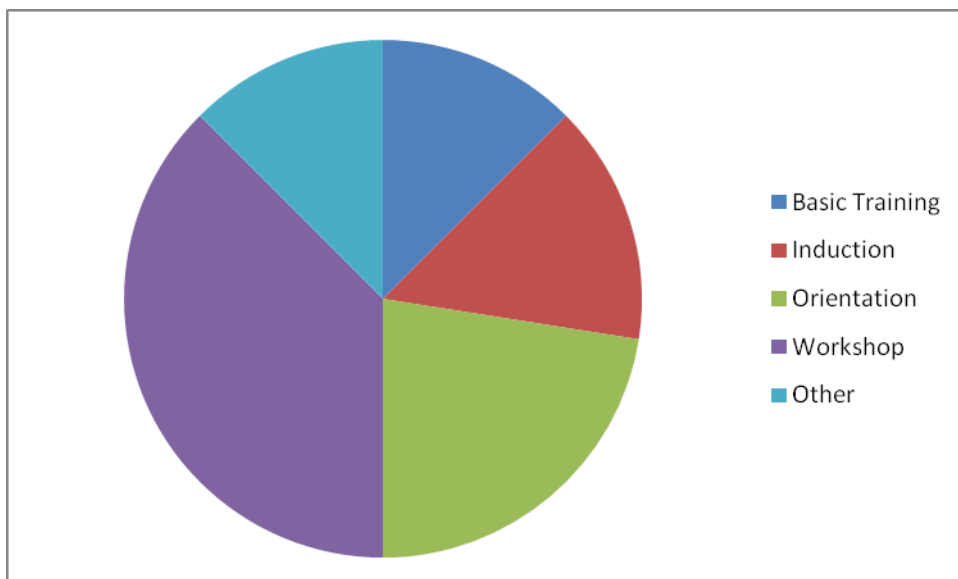


Source: Compiled by the researcher, M.D. Binza, 2011

4.5.12. In what way was this information given to you?

It appeared that of those referred to the previous question, 13% of them received that information during their basic training. Of these, 15% received this information during their induction. 23% of these received information during their orientation, while 38% of respondents received information during workshops. Another 11% had a session or were briefed by the supervisor. 48% of the respondents of all the participants never received any information about performance appraisal as shown in the previous question.

Graph 4.9: Method in which information was given

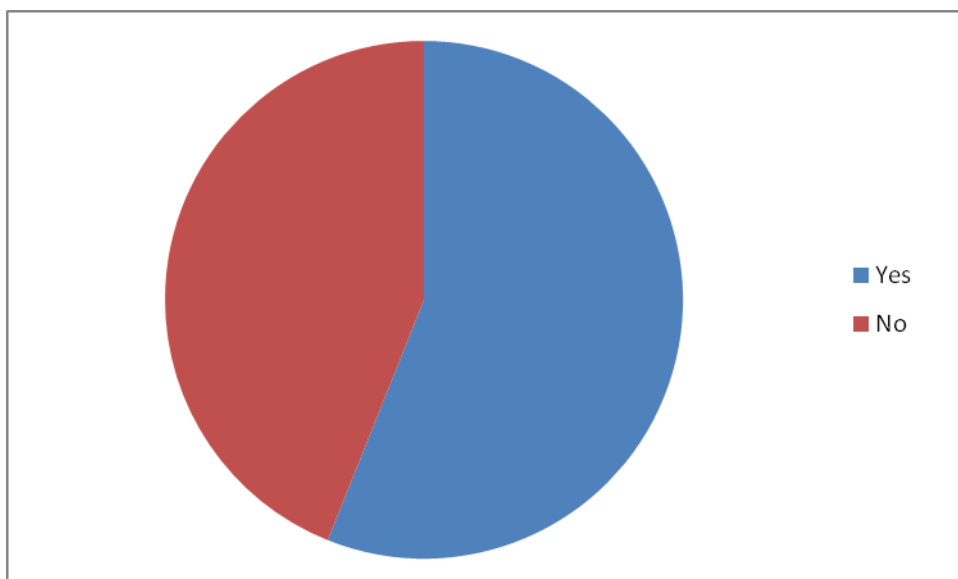


Source: Compiled by the researcher, M.D. Binza, 2011

4.5.13. Have you been inducted/ trained /work shopped on how performance appraisal is done in the Department of Correctional Services?

On enquiring if the respondents were trained on performance appraisal it was found that 56% of the respondents claimed to have been trained on performance appraisal. And 44% of the respondents had never been trained on performance appraisal. 3% of them did not respond to the question. Refer to pie graph below for more understanding:

Graph 4.10: Training of participants on performance appraisal



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.14. How long ago did you undergo that training?

On enquiring how long it had been since they were last trained it appeared that 29% of them were less than a year ago. A staggering 38% of these respondents were trained over a year ago. A similar number of 17% were trained over two years to such an extent that 17% of them did not even remember when they were trained. The remaining 44 % were not trained as shown in the above question.

Section D comprised the following questions, with the respective answers from the respondents.

4.5.15. In your opinion what are the problems / challenges with the manner in which performance appraisal is done in the Department of Correctional Services?

On checking how were the respondents' opinions on what they perceived as challenges with the current system, there were 96 opinions stated, taken and grouped together as above. Of these a resounding 34% felt that there was a lot of manipulation, such a favouritism, nepotism, corruption and racism in the whole performance appraisal system. Another 14% thought it had challenges such as that it was prescriptive, long and complex, for example, in that only 20% of the people should get and what if there was more number of people who qualified to get performance bonus as a result of good performance. There was professional staff such as nurses scored by nonprofessional staff such a prison warders vice versa which would indicate a lack of understanding of the requirements of these specific roles. And some felt that it was more about writing abilities than performance in that good declarers stood a chance of writing well and in some cases if not all they won't be good performers.

Some felt that there was no control with no good supervision when it came to performance appraisal and hence the disorganisation. There are always late submissions, reviews not done on time and no communication or feedback given to subordinates. One percent of respondents felt that it was not private, while 3% felt that it was not transparent enough and high a number equivalent to 21% of these responses felt that there was lack of knowledge or and training in how performance appraisal was done in DCS.

Two percent felt that there were no problems with performance appraisal and according to them it was done well and on always on time and there were feedbacks given to employee by supervisors. Of all the respondents only 4% failed to identify any challenges or positives with the current performance appraisal in DCS.

4.5.16. In your understanding what are the causes to these problems or challenges you answered in the previous question above?

This is one of the open-ended questions wherein respondents were not restricted to providing one answer. The varying answers were clustered together into themes. All answers were then added and percentage counted out of the number of responses/ the weight of themes than the number of respondents. That means therefore that there could be more responses here than respondents in this section.

Table 4.2: Challenges with performance appraisal

Responses	No.	%
Lack of objectivity, commitment and professionalism, full of favouritism	29	33
Complex , for example, Supervisor decision often ignored, writing ability matters, one person deciding about one's performance, committee deciding about ones performance	7	8
Lack of proper training or exposure/ insight	29	33
Shortage of supervisors or managers	1	1
Lack of control and responsibility not taken / no supervision , for example, done on last minute, no proper assessments , for example, proper assessments/ negligence	6	7
Poor performance	1	1
Fearful to challenging managers/ the system	1	1
Poor policy making , for example, not considering input from lower ranking categories, transformation and affirmative action, racism, wrong placement	5	6
Lack of good budget for appraisal	1	1

Nil comment/ unknown	9	10
TOTAL	89	100

In trying to understand what were the causes to those challenges lack of objectivity, commitment and professionalism came up tops with 33%. 8% of the respondents thought that it was due to complexity that there were such challenges. Another 33% sighted lack of training as the cause to those challenges while 1% expressed that there was shortage of supervisors. In addition, 7% stated that a lack of control is the cause to these challenges. And 6% is of the view that poor policy making is to blame for these challenges such as affirmative action. Another 1% stated that lack of budget is the cause for these challenges and 0.011% is of the opinion that poor performance is to blame for these challenges and a similar percentage hold the view that members are not challenging the system because they are fearful. In total, 10% of the respondents failed to cite causes to these challenges.

4.6.17. In your opinion what are the positive things with the manner in which performance appraisal is done in the Department of Correctional Services?

This is one of the open-ended questions wherein respondents were not restricted to providing one answer or choosing one answer from a provided set of choices. The respondents could provide more than one answer. These were then clustered together, that is put or added together those answers that seemed to mean the same thing into themes. All answers were then added and percentage counted out of the number of responses/ the weight of themes than the number of respondents. That means therefore that there could be more responses here than respondents in this section.

Table 4.3: Positives about performance appraisal in DCS

Responses	No.	%
Skills , training and responsibility giving	3	4
New system introduction seems promising , for example, more time spent with members reflecting what they are doing/ compulsory session, self representation on the panel, self rating and transparency and stationery user friendly	11	15

Monitory reward	6	8
Easies transfer	1	1
Developmental purposes	1	1
Improves performance and <i>its</i> fair in that it promises monitoring, motivation and gives high rating, gives feedback immediately	13	18
No comment	5	7
Nil positive thing	34	46
Total	74	100

Source: Compiled by the researcher, M.D. Binza, 2011

When they were asked about the positives in the manner in which DCS conducted its performance appraisal, it was only 4% that it brought about training, skills and improved responsibility. 15% of the respondents were hopeful about the newly introduced system and its implementation in that it brought about compulsory sessions between supervisor and supervisees, self representation and transparency. About 8% of the respondents felt it was good as it brought about money. 1% thinks that it easies transfers when one needs to go to another area of work. Another 1% believes that has encouraged self development of members. 18% claims that the new system of performance evaluation encourages performance in that its promising monitoring, for example, forced sessions and feedback and results given immediately. 7% of the respondents did not state any positives about DCS performance appraisal. A resounding 46% of the respondents categorically stated that there was in actual fact nothing positive at all about DCS's performance appraisal.

4.5.18. In your understanding, what are the causes to these worthy aspects of performance appraisals in the Department of Correctional Services?

Answers to this open-ended question were treated in the same manner as outlined for the previous question. That means therefore that there could be more responses here than respondents in this section.

Table 4.4: Causes to worthy aspects of performance appraisal

Responses	No.	%
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Assessments done according to job description performance plan	1	1
Policy enforcing compliance , for example, having performance discussion, Allowing employees to motivate, bring evidence to support rating etc	8	11
Positivity/ motivation / hard work, dedication, objectivity	14	20
Honesty / fair evaluation and consistency	5	7
The manner in which policy is done is wrong and should be done away with , for example, induction, reward not always given to deserving members, points not matching allocated points, demotivating, bad, increasing absenteeism etc	10	14
Lack of engagement, training and increase in frustration on part of members	3	4
No worthy aspect / no comment / response	30	42
	71	100

Source: Compiled by the researcher, M.D. Binza, 2011

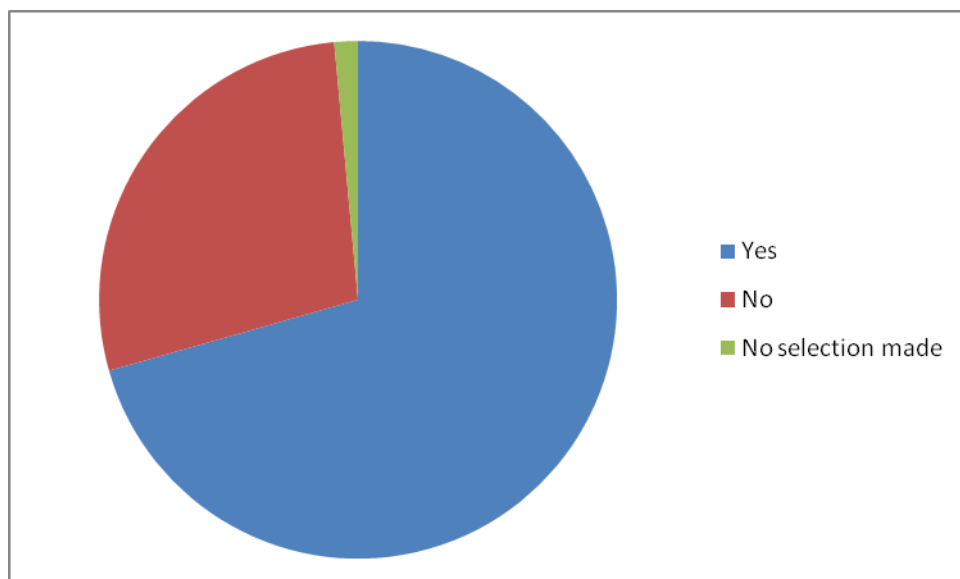
When establishing the causes of the worthy aspects of performance appraisal in DCS, 1% of the respondents felt that, it was due assessments done according to job descriptions. And 11% believed that it was all thanks to good policy that enforced discussion between role players, while 20 % believed that it had to do with positive people, who were motivated and dedicated and hard working. About 7% associated worthy aspects with honesty, fairness and consistency on the part of the managers.

About 14% of the respondents felt that the whole performance appraisal system is flawed and should be stopped and 4% thought that there were no worthy aspects due to a lack of training and engagement of members. An alarming 42% felt that there were no worthy aspects and saw this question as not applicable to them.

4.5.19. Do you think that performance appraisals are done improperly in the Department of Correctional Services?

On being asked if performance appraisal in DCS was done improperly a resounding 72% of the respondents felt that performance appraisal was indeed done improperly in DSC. 28% though thought that they were not done improperly. And 1% of them rather did not make their selection here. Refer to the table below for more:

Graph 4.11: Checking if PA was done improperly in DCS



Source: Compiled by the researcher, M.D. Binza, 2011

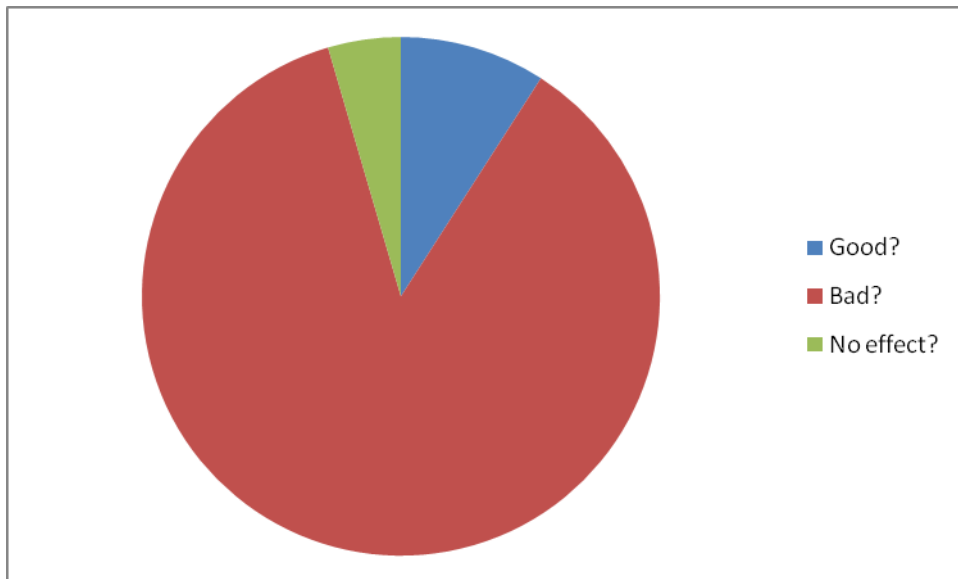
4.5.20. What do you think are the effects of improperly executed performance appraisal in correctional services?

An overwhelming 46% expressed that it had a negative effect and was demoralising, while 12% were of the view that it often led to poor service delivery and 3% felt that it was causing members to be ill disciplined. A further 20% saw it as promoting favouritism which is not being fair and professional on the part of the managers and only 1% saw it as having positive effect on to those who got the favour. About 5% saw no point in doing it at all as it just caused unhappiness and 11% failed to stipulate the effects of improperly executed performance appraisals, while 2% answered this as not applicable.

4.5.21. In your opinion how would you classify the impact that improperly conducted performance appraisal have on employees?

86% of the respondents classified improperly conducted performance appraisals as being bad, while 9% of the respondents saw them as being good and 5% saw it as having no effect. And the remaining 3% did not make any selection in this question. This can easily be seen in the following table below:

Graph 4.12: Testing the impact of improperly performed PA



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.22. What are your perceptions on the effects/results of poorly performed performance appraisal to individuals in the department of correctional service?

The answers to this open-ended question were treated in the same manner as outlined above. That means therefore that there could be more responses here than respondents in this section.

Table 4.5: The effects of poorly performed performance appraisal

Responses	No.	%
It's bad and causes people to become negative making them to performance poorly failing the department	52	67
Low self worth	2	2.6
Causes ill discipline and fuelling conflict	2	2.6
Smuggling	1	1.3
Increases absenteeism	5	6.4
Deserving folks don't get and the other way round	4	5.1

No response	4	5.1
Everything failing apart	4	5.1
Punitive /Ill treatment of members by supervisors	1	1.3
Department left by its members and performs not well	2	2.6
Favouritism	1	1.3
Total	78	100

Source: Compiled by the researcher, M.D. Binza, 2011

On probing on the effects of poorly performed performance appraisal it was discovered that 67% felt that it bad and it encouraged negativity and lowered morale of the members. About 3% held the view that it had a psychological effect such as giving members low self esteem. Of that 3% felt that it was causing ill discipline and fuelling conflict in the work environment. Another 1% expressed that it poorly performed performance appraisal was encouraging smuggling with the members as an easy way to pay themselves for their good work and 6% felt that it encouraged absenteeism. About 5% thought that it was only good enough to benefit those who did not deserve to benefit and the other way round while another 5% felt that it to blame for poor work performance and 1% believed that it had a punitive effect to the members by supervisors. Approximately 3% felt that the department was losing members as a result of poorly performed performance appraisal and 1% believes that it was to blame for favouritism. Another 5% felt that it was as a result of this that everything around performance appraisal was falling apart and 5% failed to answer this question.

4.6.23. What do you think are the effects of properly executed performance appraisal to employees?

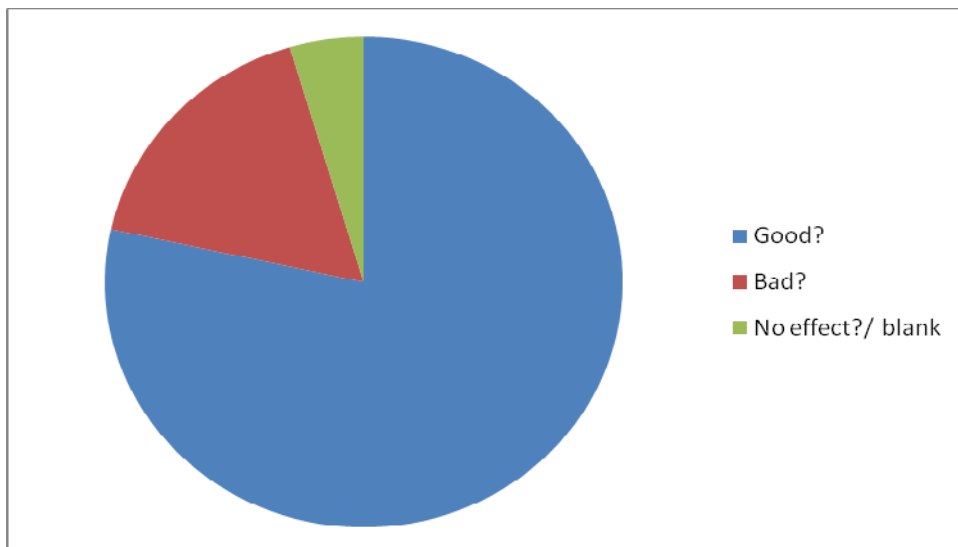
As far as the effects of properly performed performance appraisal are concerned it became evident that 72% of the respondents felt that that had a good effect in that it had a positive impact in that it encouraged positive attitude and boost morale. Another 1% felt it was good to boost self esteem of members. 1% believed that I encouraged members to develop themselves. Another 1% believed that it discouraged smuggling. Another 1% felt that it was encouraging good environment at work. 3% thought that it was positive in that it rewarded the deserving members. 6% felt that there was nothing proper about this in DCS and

generally answered this as bad. 13% did not state what the effects of properly performed performance appraisal were.

4.5.24. In your opinion how would you classify the impact that properly conducted performance appraisal?

According to the study 78% classified properly performed performance appraisal as good and 17% thought it was as bad. 5% classified as having no effect /did not classify properly performed performance appraisal. These feelings are easily noted in the following pie graph (Graph 4.23) below:

Graph 4.13: Testing impact of properly conducted performance appraisal

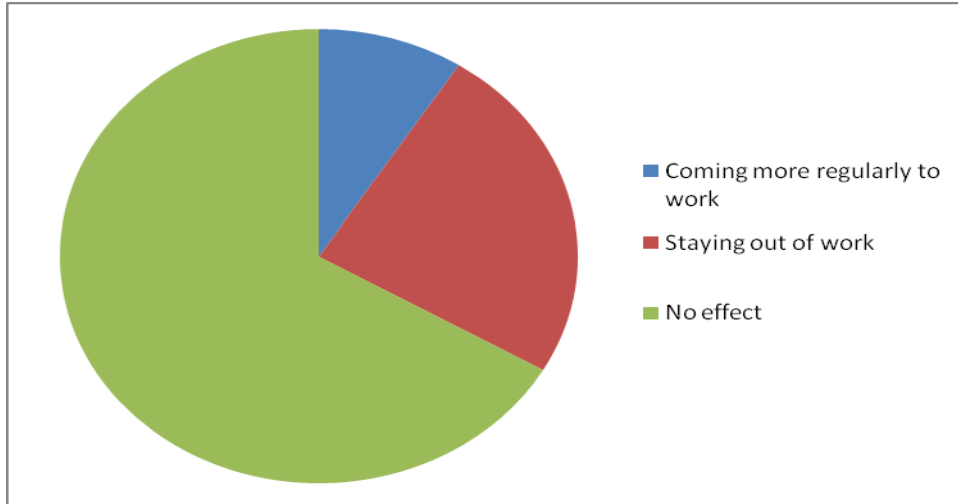


Source: Compiled by the researcher, M.D. Binza, 2011

4.5.25. What do you feel like during performance appraisal period and after performance appraisal period?

On being asked how they felt about how they felt during this time in as far as work attendance is concerned 9% felt that they came more regularly to work. In opposition to this, 24% felt that they should stay out of work during performance appraisal period. The remaining 67% expressed that this had no effect on how they were supposed to go to work.

Graph 4.14: Checking behaviour during and after performance appraisal period

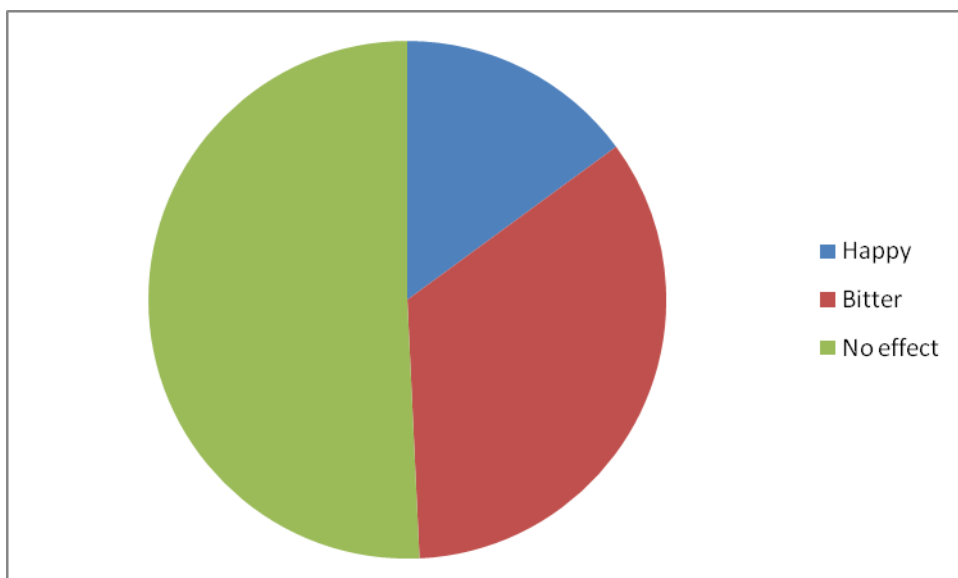


Source: Compiled by the researcher, M.D. Binza, 2011

4.5.26. After performance appraisal period and during bonuses payments I feel like:

On being asked how they felt during and after performance appraisal bonuses payment 15% felt that they were happy during this time while 34% of the respondents felt that they were bitter during these times. Half of the respondents claimed performance bonuses payment had no effects on them at any point. Only 1% of the respondents did not attempt to answer this question.

Graph 4.15: Checking feelings during bonus payout



Source: Compiled by the researcher, M.D. Binza, 2011

4.5.27. What is your perception of the shortcomings of the way in which performance appraisal is handled by the Department of Correctional Services in relation to your answer in question 24?

The answers to this open-ended question were treated in the same way described above. That means therefore that there could be more responses here than respondents in this section.

Table 4.6: Shortcomings of DCS performance appraisal

Responses	No.	%
Never going to be liked	1	1
Controlled by favouritism and not according to performance and no professionalism	9	12
Make people to loose interest in DCS/ pa matter	6	8
No response	14	19
decreases performance , for example, Increased stress and absenteeism/ dodging during working hours	14	19
Optimistic, fairness prevail, good, discipline and respect	4	5
Privatising of assessors	2	3
No change predicted	1	1

Generally does bad than good	1	1
Lack of experienced members and admin work affected	6	8
Lack of motivation and lots of aggrieved members	6	8
Racism	3	4
Good declarer and not necessarily good performers get performance bonuses	1	1
Stop favouritism and let all get the money	1	1
Seen as burden or just another task	1	1
Start all over and work out a proper and fair system	1	1
Lack of honesty/ human factor	1	1
Wrong decisions by wrong people , for example, not knowing ones performance	1	1
Total	73	100

Source: Compiled by the researcher, M.D. Binza, 2011

The respondents were asked to provide their perceptions as to what they thought the implications were of a poor performance appraisal system. About 12% believe that favouritism played an important part than professionalism, while 8% thought that DCS would lose many of its employees and more employees were not going to have interest in performance appraisal and a further 8% predicted that DCS will sit with inexperienced members at some point. Approximately 19% felt that this was going to further reduce work performance and 8% believed that DCS was going to have more disgruntled members lacking motivation. About 3% were of the view that the whole thing will have to be privatised to bring about fairness and 1% predicted no change while another, 1% predicted that current performance appraisal was going to cause more bad than good. An additional 4% held the view that it was going to fuel racism and 1% believed that it was going to continue to benefit good declarers rather than good performers. Another 1% thought that they were was going to stop favouritism if the process is halted and the same amount thought that the whole process should be redesigned.

There were some optimistic respondents though such as 6% who believed that fairness, respect and more good could be earned as a result of well performed performance appraisal. About 19% did not state any shortcomings about the way performance appraisal is performed in DCS.

Section E, the last part of the questionnaire, asked respondents about general suggestions for improvement. For each question in this section, the answers are analysed hereunder.

4.5.28. What actions/ steps can be taken to improve your feeling after performance appraisal evaluation and during performance bonus payment with specific reference to the question above, question 24?

The answers to this open-ended question were treated in the same manner as previously described. That means therefore that there could be more responses here than respondents in this section.

When the respondents were asked what they thought could be done to improve their feelings during performance bonus payment time, 1% felt that moderating committee should be formed out of people that knows ones' performance. Another 1% felt that the supervisor's mark should have more weight than moderating committee's decision and 2% felt that the department should provide them with more resources including qualified people. Another 11% felt that staff should be motivated during this time, while 2% held the view that management should be change and 7% felt that neutral assessors should be doing performance appraisal. In support of this idea, 1% felt that DCS should be learn to do performance appraisal in the same way as is done in the private sector. Interestingly, 2% felt that DCS should be investigating the cause for the failing performance appraisal and 1% believes that money should be left out of the whole performance appraisal issue. 4% felt that there should be more communication between all stakeholders in the PA process. While 1% felt that writing up of incidences should be done away with as it tended shift assessment of performance towards assessment of writing ability. 15% felt that there was a need for

more training than anything and 10% did not state what could be done to improve their feelings during this time.

4.5.29. In your own opinion what do you think could be done to alleviate these problems (refer to Question 13/ 24) above with performance appraisal in DCS?

The answers to this open-ended question were treated in the same manner as previously described. That means therefore that there could be more responses here than respondents in this section.

Table 4.7: Solutions to challenges of DCS performance appraisal

Responses	No.	%
Honesty and fairness of supervisors	10	14
Provision of proper training / workshop/ resources	24	34
Communication transparency and inclusion of subordinates/ representation by supervisor	9	13
No response	10	14
Supervision /monitoring and evaluation of the system and responsible individuals and making them accountable	6	9
Allocation of more money for PA purpose	2	3
Investigating cause	2	3
Get neutral assessors from outside not letting people declare own appraisals/ or use staff from same facility	3	4
Develop user friendly documentation including doing it in other languages other than English	1	1
Nothing – no body worries	1	1
Appoint members to keep watch of the process	1	1
Change system completely for a proper working one	1	1
	70	100

Source: Compiled by the researcher, M.D. Binza, 2011

When respondents were asked what could be done to get rid of bad performance appraisal 14% thought that honesty and fairness could change things and 34% felt that training was the only source of hope. An additional 13% held the belief that communication, involvement and transparency could bring about the necessary change. Another 9% believed that supervision and monitoring of responsible individuals and making them accountable could help improve the performance appraisal process. Approximately 3% thought that allocation of more money could change things and 3% felt researching the cause was another thing that had a potential to alter the situation. About 4% held a view that getting neutral assessors from outside particular prison as this meant that there was a greater chance that they would be unbiased. Another 1% felt that appointing certain members of staff to keep watch of the process was the answer; while the same amount thought that simplifying the documents was another a remedy and another 1% felt that there was nothing that could be done to salvage the situation.

4.5.30. Could you please give suggestions as to how performance appraisal in the Department of Correctional Services could be improved?

The answers to this open-ended question were treated in the same manner as previously described. That means therefore that there could be more responses here than respondents in this section.

Table 4.8: How performance appraisal can be improved

Responses	No.	%
Effective communication and transparency	7	8
Regular training / workshop and supervision	23	25
No response	10	11
Motivation /Introduction of more incentives , for example, issuing certificates	6	7
Being professional honest / fair and having good attitude when doing PA	16	18
Stop performance appraisal and improving salaries	2	2

Get new assessors or professional to assess	3	3
Better planning and ensuring accountability	4	4
Provide resources and qualified people	4	4
Consult others and get assistance	3	3
Supervisors to have more say	3	3
Transparency, involve and get unions to monitor these processes and allow self representation	2	2
No racism or discrimination but give to all	3	3
Use performance and not reports to give bonuses	1	1
Improve members' score than just the money	1	1
Start from scratch	1	1
Appropriate placement of members to all performance	1	1
Change management	1	1
Total	91	100

Source: Compiled by the researcher, M.D. Binza, 2011

Approximately 8% of respondents thought that one way of improving the PA process could be brought about by effective communication and transparency. A resounding 25% felt that training was the answer and 18% felt that professionalism, fairness, honesty and good attitude are required. Another 2% felt that performance appraisal just needed to be stopped and just improve salaries, while 3% of the responses suggested getting neutral assessors and 4% felt that better planning and making supervisors accountable was the answer. Another 4% felt that provision of more resources besides money including qualified individuals was the answer. Copying from others including private sector was what 3% felt could do DCS good to change performance appraisal. Another 3% felt that giving supervisors more authority than the moderating committee was the answer, for example, in terms of final say. An additional 2% felt that the greater involvement of unions would assist in improving the situation and 3% felt that all employees should get the bonus as they all perform the work instead of discriminating.

4.6. Conclusion

The chapter investigated the actual process of performance appraisal in the DCS. It investigated the perceptions of participants in the process of performance appraisal and explored alternative factors influencing the perceptions of participants, such as experience, ranking, place of work, training of personnel as time intervals between training. This chapter also reviewed the perceived shortcomings of the how the performance appraisal is done as well as what can be done to improve the current situation. The next chapter will analyse these findings using Pearson Chi-square and compare them with the theoretical framework. The researcher will then provide recommendations to the DCS to improve the process of performance appraisal in the department.

Chapter 5

DCS study findings analysis, conclusion and recommendations

5.1. Introduction

The previous chapter investigated and made findings on how performance appraisal in the DCS was done and how the participants perceived the process of performance appraisal and how it can be improved. A brief summary of the previous chapters will first be made in this chapter. This chapter will analyse and draw some conclusion from each of the answers in relation to each question that was asked.

A multivariate analysis of some of the quantitative answers in this chapter will also be done using Pearson Chi-square which shows significant association when the percentage is less than 0.05% and no association when it is more than that range.

Recommendations on how performance appraisal can be improved in DCS will be made based on this analysis. Finally conclusions will be made and limitations to the study will be briefly discussed and recommendation made for further research.

5.2. Summary of the previous chapters

The first chapter introduced this study and stated the problem statement, research questions as well as the objectives of the study. The research methodology and instrument were also discussed as well as the constitution of the research sample.

The second chapter examined the ideal performance appraisal as a result of a comprehensive literature review. The process was examined in terms of what constituted a well performed performance appraisal, the challenges of performance appraisal and in addition the concepts of performance appraisal and performance management were defined. The objectives, process principles, methods, and legal implications and challenges of performance appraisal were discussed in this chapter.

Chapter three reviewed how the Department of Correctional Services was supposed to be doing its performance appraisal. It looked at performance appraisal in the DCS in terms of the policy and the guiding documents in this regard. Performance appraisal, the process, purpose, principles of performance appraisal were discussed and there was also an examination of who should be involved in the process. The rating scale used by the department was looked at in this section.

The fourth chapter investigated how the actual performance appraisal performance was done in the department. This was looked at in terms of how correctional services personnel viewed the process of performance appraisal and the effects thereof and how they felt it can be improved. Findings were made in this chapter. The actual investigation was done in this section of the study and the research questions were answered here. Analysis of the questions or answers to the questions also took place in this chapter.

This chapter draws conclusions in terms of the findings of the previous chapter and, makes recommendations to the Department of Correctional Services on how performance appraisal could be improved. Limitations of the study are also discussed in this chapter and suggestions for further research are provided.

5.3. Interpretation and summary of main research findings

Performance appraisal should be seen as one of the most important areas in performance management of both individual and organisational performance. Performance appraisal has to be improved in an effort to bring it to the level that everybody understands its importance so that individual and organisational performance is improved simultaneously. Performance appraisal should therefore be viewed as one of the ways that aim at enhancing good competitive performance of the employees and thereby contributing well to organisational performance. If performance appraisal is properly managed it not only promotes competition by promoting good productiveness of the employees and the organisation, but also promotes harmony in the work place.

5.3.1 Section A.

This section related to the demographics of the respondents

In trying to establish, on the first question, if there was any other experience that was drawn into the study from any other public department, it can be concluded that there was worthy experience from 16% of the respondents who came from other departments other than DCS as shown in this study and these departments are stated in answering the second question.

Based on Pearson Chi-square there was no significant association between those who only worked for DCS and those who have worked for other departments in how they rated DCS's performance appraisal ($P = 80643$) referring to an association between Question1 and Question 9. It can therefore be concluded that the unsatisfactory performance appraisal in DCS was viewed the same way by all participants irrespective of their experience.

There was no significant association in the way in which those who only worked for DCS and those who have worked for other departments as well in how they saw DCS's performance appraisal as being improperly done, Pearson Chi-square ($P = 51937$). It can therefore be concluded that the improperly done performance appraisal in DCS was viewed the same way by all participants irrespective of their experience of the other public departments in which they have worked.

Using Pearson Chi-square ($P = 72921$) it was discovered that there was no association, even if participants had other public departments' or DCS's only experiences, they overwhelmingly classified the impact of improperly conducted performance appraisal as being undesirable. And the opposite of that was seen shown by Pearson Chi-square ($P = 40992$) when the participants classified the impact of properly performed performance appraisal as being desirable.

According to Pearson Chi-square there was no association between those who had only worked for DCS and those who had worked for other departments as well in how they felt Pearson Chi-square ($P = 28992$) and be behaved ($P = 51615$) during performance appraisal period (Question 1 and 25) and (Question 1 and 26).

It is the researcher's opinion that the majority of participants denied the impact that the impact of improperly performed performance appraisal had on them. Considering majority's responses to Question 9, 21 and 24, where they rated performance appraisal in DCS as "unsatisfactory", and the impact thereof as "bad", it is highly unlikely that this would not have an impact. According to the researcher's opinion, there may have been denial in answering this question or there may have been fear of victimization on the part of the participants.

Those respondents such as referred to in the first question above came from various backgrounds. Precisely a quarter came from the Department of Education. 17% each came from the following departments; Department of Health, Department of Social Welfare and Population Development and South African Air Force. And 8% each came from Statistics South Africa, Provincial Administration of Western Cape and private institutions.

It can be concluded therefore that there must have been experience drawn from other departments although not so significant association was noted by the Chi-Square multivariate in questions 2 and 9. It can be concluded that there is value added into the study as a result. The number of years spent in those departments which are looked at in the following question also brought value to the study.

In establishing how long the respondents were in their previous public departments in the third question, it can be concluded as shown in the study that all of the respondents who had joined DCS following their work from other departments had experience of at least over 1 year in those departments such as referred to in the above question. 58% brought experience of more than 1 year for those departments referred to in question 2. And 42% brought a worthy of experience of between 3 and 20 years in those departments. This undoubtedly gave value to the study.

In terms of establishing how long the respondents were in the actual department in the fourth question, a conclusion here is drawn from the fact that it turns out that it has been shown in this study that less than 30% respondents brought experience of more than one year but not exceeding 6 years into the study from their stay in DCS itself. And over 70%

brought worthy experience of between 7 and more than 20 years into this study which added value into the study. This brought value to the study as majority long enough in the department.

According to Pearson Chi-square ($P = 0074$) there was a significant association between the participants experience in the department and how they rated performance appraisal in DCS. Meaning that there was differing of opinions, in how participants viewed performance appraisal performance in DCS. Those over 11 years in the department were more dissatisfied than those with less than 11 years in the department. This can be associated with the former practices where there was no performance appraisal. So those who are newer to the service are used to the situation and do not show disapproval levels as high as their more experienced counterparts. They may have seen more studies in the past that the fear for victimisation may have been allayed. To the contrary they may have not seen any study in the past that they were optimistic that this study will change things around. There may have been no evaluation of the performance appraisal system or there may have been one but they are long enough in the department to have seen it fail. Grobler et al., support this when they say that sometimes performance appraisal programmes are “left to function – sometimes dismally – without a thorough examination of their effectiveness” (Grobler et al., 2006: 289).

Based on Pearson Chi-square ($P = 11776$), there was no significant association between the number of years participants were in the department and the way they rated the department’s performance appraisal conduct. There was also no significant association between the participants’ experience in the department and how they classified the impact of performance appraisal. There was also no significant association between their age in the department and how it made them feel Pearson Chi-square ($P = 06175$) or behave during performance appraisal time or payout.

The researcher decided it was necessary that the respondents’ seniority be looked at in the fifth question as the more senior they were in the more the experience they were bringing to the study. What gave even more significance to the study is the fact that all ranks and various categories of staff from different departments participated in the study. This brought

more value to the study. That means less representation at the top such as management and more at the bottom, production level. Although this is the case in most organisations, an adjustment was made increasing the participation of the higher ranks to more than 20% to ensure representation of the groups. This means that 20% of the actual group in the organisation had to be taken in the study.

According to Pearson Chi-square ($P = 0.777$) there was no significant association between the participants' rank in the department and how they rated performance appraisal in DCS. According to the study performance appraisal conduct in the Department of Correctional Services was viewed by the majority of the participants of all ranks as unsatisfactory.

Based on Pearson Chi-square there was no significant association between the participants' rank in the department and what they thought performance appraisal was being done in DCS, improperly. According to the researcher, performance appraisal conduct was viewed in the same light, most improperly done, by all the categories of staff who participated in the study. There was also no important association between the participants' ranks and how they viewed the impact that improperly done PA in DCS was having, overwhelmingly negative, and the opposite thereof seen on the impact of properly done PA, that is positive.

5.3.2 Section B

This section looked at placement of the participants and how long they have been in those areas.

The majority of the respondents brought value to the study as they form a big and more diverse background, Goodwood Prison. This is because 88% of them came from Goodwood Prison as it was mentioned in chapter 3 that respondents here came from diverse backgrounds such as finance, health, laundry, kitchen, human resource etc. The study considered all ranks as found in these different departments.

Once again based on Pearson Chi-square ($P = 0.588$) there was no significant association between the participants' placement in the department and how they rated performance appraisal in DCS.

According to the researcher, performance of performance appraisal was the same in Bellville Community Corrections as it was in Goodwood Prison. This can be associated with the fact that Bellville Community Corrections is part of Goodwood Prison and the application of performance appraisal policy was the same in both areas.

The eighth question reviewed the stability of these participants in their areas of placement such as referred to in the previous section. It can be seen in this study that majority of the respondents brought a lot of value, in terms of stability, into the study as they were all over a year in their positions. In fact 70% of them brought their personal wealth of experience of between 3 and more than 20 years into the study more than a quarter of them had more than 10 years. Less than 30 % brought value of between 1 and 3 years into the study

The ninth question investigated how the participants viewed performance appraisal in DCS. In answering research question it was found in the study and can be therefore be concluded that majority of the respondents, revealed that they were not happy with the way performance appraisal was being done in the Department of Correctional Services. In fact a quarter of the respondents felt that it was done very poorly. This confirms the fact that well over half of the employees are in fact aggrieved with the way performance appraisal is done in the department. This equates to a "weak link" in a security environment Mthombeni (2006; 2) and does not fit in well with a department that aspires to become one of the best in the world (Mthombeni, 2006; 69).

The tenth question investigated the reasons why they were not satisfied with the performance appraisal in DCS. It can be concluded that the majority feel that the performance appraisal was poorly done and that favouritism and a lack of training were the main shortcomings of the system.

5.3.3. Section C

This section looked at the training of the participants on performance appraisal and how such training was given and the interval at which such training was given.

The 11th question investigated the training of the participants. This study revealed that a little over half of the employees (52%) were in fact given information about performance appraisal. It can be concluded that this did not translate to a satisfactory way of doing performance appraisal as revealed by the study, participants (62%) in question 9 underrated performance of performance appraisal in DCS. Moreover, almost half of the participants were not trained which is a cause for concern.

Based on Pearson Chi-square ($P = 41120$), there was no significant association between the participants who had been given information about performance appraisal in the department and how they rated performance appraisal in DCS. According to the study performance appraisal in DCS was viewed most as being unsatisfactory by all respondents as shown in question 9 (62%).

There was also no significant association, Pearson Chi- square ($p = 26208$), between how the trained and the untrained participants classified the impact of improperly done PA, mostly seen as negative. The same was seen with how they classified the impact of properly done performance appraisal.

Based on how Pearson Chi-square there was no significant association between how the trained and the untrained felt (00254) and behaved ($p = 06115$) during performance appraisal and performance appraisal payout periods.

In anticipating whether the method of training would have an effect on how they perceived PA in the department in the 12th question it can be seen in the study that most of the training referred in the 11th question was given through workshop. DCS can therefore be commended for informing its members as the department has been able to at least train over half of its staff members about performance appraisal mostly through workshops.

Based on Pearson Chi-square ($P = .41120$), there was no significant association between the participants who had been given information and whatever form that some information was given about performance appraisal in the department and how they rated performance appraisal in DCS. As shown by the study performance of performance appraisal in DCS was viewed mostly as being unsatisfactory (62%) by both those had been given information, irrespective of the method in which such information was given, about performance appraisal and those who had not been given any this information.

Based on Pearson Chi-square there was no significant association between how the participants were trained or received information about performance appraisal and how they classified the impact of improperly done PA in DCS mostly seen as negative, there was no significant association. There was also no significant association with how they felt and behaved during PA period including performance appraisal period.

In asking the same question was asked in the 11th question there was the response was not significantly different from the finding in that question. It can also be concluded that DCS trained its members on performance appraisal as a little over half of DCS staff (56%) was trained on performance appraisal as supported by Van der Waldt (2004: 257). It would appear though that neither training nor information giving has translated to good rating of performance appraisal by DCS staff as shown by responses in question 9.

In relation to the above questions (11 and 13) the 14th question, in establishing the regularity of the training it was found and can be concluded that even though a little over half of the staff was trained, a huge majority of them (over 70%) were in fact trained over a year ago and 17% of the respondents were trained so long ago that they did not remember how long ago they were trained. This means that training timing was not that regular. It can be concluded therefore that over 70% of those trained had in fact forgotten about a proper way of doing performance appraisal as they were trained over a year ago.

5.3.4. Section D

This following section investigated the challenges around performance appraisal and the causes to such challenges.

The 15th question wanted to establish what the challenges were if any around performance appraisal in DCS. The majority of the respondents revealed in this study that the challenges with performance appraisal in the DCS were favouritism, lack of proper training and poor control mechanisms.

This following section examined the positive things about performance appraisal in the department.

It can be concluded as shown by the study in answering the 17th question that a resounding majority of the respondents felt that there was nothing positive about DCS's performance appraisal. A few individuals felt that the policy was good as it promised transparency and monitoring of the system. It can be concluded therefore that majority were pessimistic about the way performance appraisal in DCS.

The 18th question explored the causes of the worthy aspects of performance appraisal in the department. It can be concluded that a large majority expressed that there was nothing positive as shown in answering the above question (17), and there was nothing causing it. Some went to the extent of highlighting more negatives even though they were asked to give positives they described it as nothing less than; favouritism, demotivating, bad and encouraging absenteeism. However, a small group felt that the policy was satisfactory with the new system that was introduced in 2008. They felt that the new system was promising some objectivity and was motivating, in that supervisors were forced to sit and give feedback to subordinates and subordinates were afforded an opportunity to assess themselves and score themselves.

This section examined the perceptions on performance appraisal by the participants, effects of performance appraisal and how those were classified in a way to testing if the participants knew what they were talking about.

According to the analysis of the 19th question, it would appear that majority of the respondents of over 70 % felt that performance appraisal was done improperly in DCS. This is not good enough in a security environment and an organisation that aspired to become one of the best in the world (Mthombeni, 2006; 2).

Question 20 investigates the effects of improperly conducted performance appraisal. It can be concluded that as shown by the large majority in the study that a Low morale/ negative attitude/ lack of interest and bad attitude are associated with the effects of improperly performed performance appraisal.

As shown by an overwhelming majority in this study in question 22, it can be concluded that that the effects of poorly performed performance appraisal are causing employees to become negative and aggrieved, making them perform poorly and thereby failing the department.

As revealed by the study under the 23rd question, it can be concluded that properly performed performance appraisal would have good effect and this is confirmed by the majority of the respondents in this study. In relation to the above question such as referred to in the above section, this study under question 24 revealed that the impact of properly executed performance appraisal was a good one as was revealed in the study by the majority of the respondents. It can be concluded that respondents knew what they were talking about as this is more or less the same as the responses in question 21 which is the opposite this one.

It was revealed by the study under question 25 that the majority of respondents of over 60% claimed that they would work as normal as possible during performance appraisal period. To the contrary in question 21, the study revealed an even bigger majority of over 80% stated that improperly performed performance appraisal were impacting negatively. The effect of improperly conducted performance appraisal in question 22 was also shown as was that was negative and one that increased absenteeism. According to the researcher's opinion this is supposed to have a negative effect to these respondents such as revealed by

the majority (62%) in the study in answering question 9 as being unsatisfactory performance of performance appraisal in the department. It is therefore, the researcher's opinion that perhaps the majority of the participants may have denied the negative effect that the improperly performed performance appraisal was having on them. This may have happened as a defence mechanism or from fear of victimisation.

The same was seen in answering the twenty-sixth question wherein the majority of the respondents of a little over half (51%) claimed that they were not feeling anything during performance appraisal pay out. This is contradicting the fact that over 80% felt that poorly performed performance appraisal were impacting badly on the employees and that well performed performance appraisals were good, over 70% of them in question 24 and majority felt that the effects of properly performed ones were good. According to the researcher's opinion it is inconceivable that what is seen as bad by the majority may not have any effect on the very majority. It is therefore the researcher's opinion that the majority of the employees may have denied their feeling around performance appraisal which the majority in question 9 in the study classified as being done in an unsatisfactory manner. They may have done that to protect themselves from fear of victimisation. Only around 30% of the respondents confirmed to feeling bitter around this time.

Following the analysis of the 27th question it can be concluded as shown by the majority in this study that one of the shortcomings of poorly performed performance appraisal include decreases performance such as; increased stress and absenteeism and dodging during working hours and more favouritism and lack of professionalism.

5.3.5 Section E

This section looked at how performance appraisal could be improved.

In examining how performance appraisal in the Department of Correctional Services can be improved the 28th question revealed that the majority thought that more training of supervisors and subordinates should be provided by the department and motivation of subordinates by the supervisors should be done.

In exploring the solutions to the challenges that performance appraisal was facing in the department in the 29th question it was revealed by the majority that in this study that proper training and replacing favouritism with honesty and fairness and seeking more transparent way of doing things should be provided for by the department.

In the same way as the 28th question which explored the way to improve performance appraisal in the Department of Correctional Services the 30th question revealed that more training (25%) need to be provided for by the department and a fair approach (18%) inclusive of transparency and regular communication need to be included into the process of performance appraisal.

In closing it would appear that even though DCS has recently changed its performance appraisal system, there is still a need to further develop its performance appraisal and bring it to a level where it will satisfy the majority of its personnel.

This is why the following section will look at the recommendations to the Department of Correctional Services.

5.4. Recommendations

While it is commendable that the DCS has a sound performance appraisal policy, namely; the Policy Procedure on Performance and Career Management (2008) but based on the research and thesis, the following recommendations can be made. Policy Procedure on Performance and Career Management (2008) is explicit in what it needs to be done in terms of reviews and how these should be done. Policy Procedure on Performance and Career Management (2008) states it clearly that all performance agreements should be signed at the beginning of the performance cycle and should be linked to strategic and operational objectives of the department. This document, further states that performance agreements should also be linked to the Batho Pele principles and make provision for employees' personal development. It further states that performance monitoring should be continuous with a view to assessing performance and identifying developmental needs.

Although formal midterm review and final reviews does not seem adequate according to (Kirkpatrick, 2006: 50), this creates room for recency error. This means just remembering the most recent acts as a result of time that has passed between the old actions and the evaluation. Further this creates an opportunity for training of both the employees and managers. The challenge seems to be with the implementation of such policy which should satisfy a reasonable number of its personnel. Therefore based on the research and thesis, the following recommendations can be made which are aimed at improving the DCS's performance appraisal.

Due to the fact that there were some concerns raised in answering question 10 in the previous chapter, around the fact that supervisors were not supervised and had no insight about performance appraisal with the results that in most cases it was left until the last hour and just done for sake of doing it. Chapter 2 Grobler et al. (2006: 96) also said that organisational success dependent on how well the institution invests on its personnel or human resource programs such as performance management. According to Chapter 3 DCS seems to have a **good performance management policy** as it is appreciated by a reasonable majority (38%) of its optimistic employees. Therefore DCS' **implementation of policy on performance management needs to be properly monitored.**

A dedicated body needs to be established whose responsibility it will be to monitor and evaluate performance management. That means being accountable from training on performance management, drawing up performance agreements, reviews to doing performance appraisal. Ensuring that these are done in their own times by assisting those responsible as well as keeping them responsible. This coupled with vigorous insight building into performance appraisal as referred to above will eliminate poorly performed performance appraisal and the effects of improperly executed performance appraisal. This will instead bring in the effects of properly executed performance (Chapter 4; question 23) into being.

The researcher therefore makes the recommendation that every prison should have its own **performance team** that looks a performance management in its entirety as stated in the above section. That means performance agreement, performance reviews and performance

appraisals. Among this team's responsibility should be the training of evaluators and the evaluated to create understanding by all parties. The head should be accountable to the head of the centre and should give reports on a regular basis, for example, , monthly. This will eliminate concerns such as that these manager / assessors are not skilled to do the job or if they were skilled it was done a long time ago. It has been shown that some majority feel that there is no good control over performance appraisal. Hopefully, this will provide some control as well do away with some disorganisation that interferes the process of performance appraisal.

In Chapter 2 Grobler et al. (2006: 278) and Kirkpatrick (2006: 50) revealed that if performance reviews were not done regularly or review only done in the last minute, there was a risk of not remembering everything but only the latest incidences (recency/ primary effect). The fact as discussed under section 3.5 process of performance appraisal policy in chapter 3 wants only midterm performance review done, will according to Kirkpatrick (2006: 50) and Grobler et al. (2006: 278) allow recency/ primary effect to take place. This is supported by (Wexley, 1994: 45) why should this be left as long as six months. It is recommendable therefore that there should be formal quarterly reviews and the final / performance appraisal assessments. It is thought that this will not only ensure that there are regular meetings but will also mentally prepare these employees. According to the researcher these quarterly reviews should be scored so that there is a benchmark against which performance appraisal should be measured against.

It was noted in chapter 2 by Carrell et al. (1998: 258) and Kirkpatrick (2006: 6) that training on certain tools is necessary to ensure the achievement of organisational goal. Performance appraisal is no exception according to the researcher. Moreover, the study revealed that a little over half the staff were actually trained on performance appraisal. The study further revealed in chapter 4 that even those that were trained were trained a long time ago. 70 % of them trained more than a year ago. No wonder this did not improve how performance appraisal was viewed in chapter 4 that it was seen as unsatisfactory. Hence the researcher finds it appropriate to recommend that the department needs to come up with ways of how to improve how performance appraisal is viewed by its personnel.

Vigorous insight building in this regard should be considered. Getting an outsider to facilitate this process of training, for example, proper coordination and treating it as **team building event**. This will put performance appraisal into perspective and will build insight in terms of both subordinates and supervisors.

It was revealed by the majority in Chapter 4 in answering question 15 that there was a lot of favouritism derailing performance appraisal. To get rid of the human factor and having to bring about fairness, the researcher recommends a **stronger involvement or collaboration between stake-holders particularly the role of the Chaplain**. The department of the HR development can be tasked with proper **training** provision and spiritual **care** department could tap better into the conscience of members including supervisors and thereby reducing favouritism and increasing fairness. The chaplain should therefore be more involved as a means of preparing all stakeholders mentally for the task at hand and also ensuring that emphasis on positive traits is stressed. If daily preaching in the parade are given by the chaplain especially those that relates to fairness and honesty, the opposite thereof as well as the consequences thereof it is hoped that this will improve fairness of the people involved and limit the unfair practices of the performance appraisal. This will further reduce aggrieved personnel who are not needed in the security environment.

It has been shown in chapter 4, in answering questions 25 and 26 by the researcher, that employees may have been defensive in answering these questions for a variety of reasons as discussed above in this chapter. This is why the researcher makes this recommendation that it would be applaudable to motivate staff to speak more openly about their feelings around performance appraisal in a more professional way that seeks to find and solve problems around this issue without fear for victimization. One possible neutral way of doing that could be by way of a survey/ team building which can be done by someone neutral from outside who will give findings or make recommendations to the performance management department. There should be **regular surveys** to find out the concerns of employees including managers, and paying due consideration to those concerns. With a view to improving appraisal and employee satisfaction, the team responsible for performance appraisal monitoring and maintenance, for example, , should be required to conduct once every six months to a year, a staff satisfaction survey that particularly relates to performance

management. It has been demonstrated in chapter 2 that any aggrieved member in any security setup poses a big risk. This will enable speedy discovery of the concerns and recovery thereof.

All dissatisfaction should be properly dealt with relating to performance appraisal to the satisfaction of the complainant. A best practices methodology should be followed in this respect. In other words there should be an investigator and a hearing for any grievance that relates to performance appraisal following or guided by grievance manual that the department is using. And there should be an indication made if complainant is satisfied with the handling of his/her dissatisfaction.

Management of performance should be **non-discriminatory**. This has been shown by some respondents and labelled as racist. Performance management should have nothing to do with race, gender or any form of discrimination and it should only be viewed as performance that should be viewed against performance agreement.

Since conclusions have been drawn in the study and recommendations made to the department as well in the previous section, the researcher feels that the following section should look at what the limitations of the study were and making recommendation for further research. This will be consecutively done in the following section.

5.5. Limitations of the study

The study encountered some limitations. The researcher decided to only discuss three hereunder:

No response to questions: the respondents failed to answer some of the research questions in the questionnaire. This can be associated to with a number of things such as

1. Poor formulation of the questionnaire.
2. Fear of victimization by managers. Or
3. Lack of understanding by the respondents.

Under representation of senior management: directors, deputy directors and assistant directors. Although adjustments were made to make the groups more representative of the whole, the number of senior managers is low compared to the lower ranking groups , for example, 20% of assistant directors were equivalent to only two managers as compared to 20% of CO III which was equivalent to 27 employees.

Failure to return questionnaire: some employees who were randomly sampled failed to complete and return questionnaires thereby further reducing the participants to a small group. This can be associated with, shift-working, for example, , some study participants/subjects may have changed shift to night shift when questionnaires were collected during the day. This may have made them not to return the questionnaires. This can also be associated with the poor formulation of the questionnaires with too many questions that could have made participants despondent.

Poor formulation of some questions: Certain questions especially those that were somehow sensitive or personal should not have been personalised. , for example, questions 25 and 26 instead of asking how they felt or what they did they should have been taken out of the picture and let them talk more generally about the issue , for example, how they felt others were feeling or doing around performance appraisal period

5.6. Recommendations for further research

The respondents raised some interesting concerns to the effect that the current performance appraisal conduct was leaving too much to be desired. It could create more understanding in terms of their concerns, if further research can be done on the actual actions of DCS members that can be associated with unsatisfactory performance appraisal conduct. According to the researcher's opinion as DCS is a security-oriented environment, if this is not explored and addressed, this could result in serious security risks for the country and its citizens which mean that this area requires more exploration by researchers.

5.7. Conclusion

This chapter gave summary of the preceding chapters of the study before presenting the main findings and conclusions from the conducted primary research. In this chapter recommendations for improving current practice of Performance Appraisal in DCS before concluding with final remarks on the limitations of the research and recommendations for further research.

This chapter analysed the responses of the study and drew conclusions from the investigation carried out in the preceding chapters. Based on this analysis it can be concluded that the study in this chapter answered the research study questions. Indeed, performance appraisal in the Department of Correctional Services leaves much to be desired as it has been investigated and proven in this study. The second research question, on how performance appraisal can be improved has also been answered in this study. It has been shown that training of managers and subordinates as well as encouragement of honesty and professionalism need to be done by the department.

In closing the study the researcher sees it worthwhile to state that the research objectives in the study were met. Following the introduction of the study in the first chapter, the researcher carried out literature review in the second chapter, to investigate how ideal performance appraisal should be done. How the Department of Correctional Services expected its performance appraisal to be conducted was looked into in the third chapter. An investigation into the actual conduct of performance appraisal in DCS was done in the fourth chapter 4. The findings of chapter 4 were analysed and conclusions drawn and recommendations made in this chapter.

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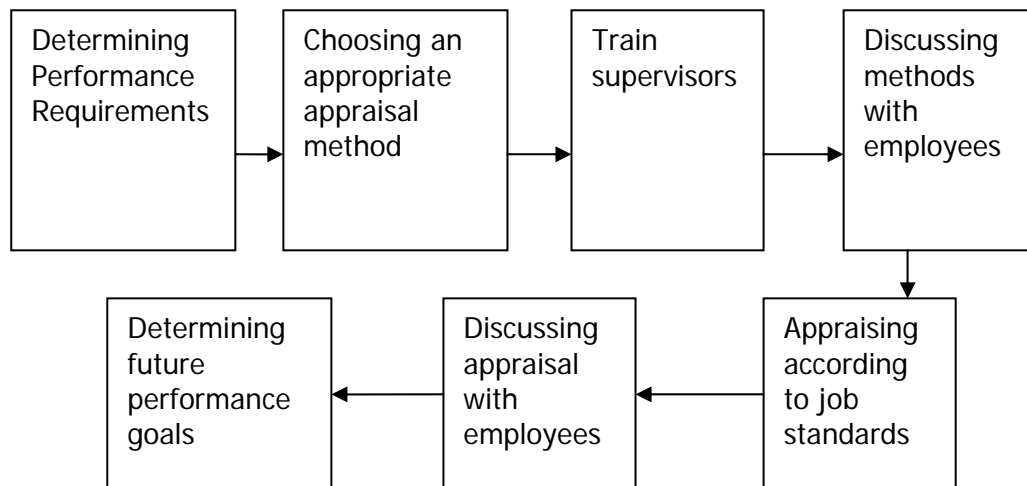
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Annexure A

Steps in PA development

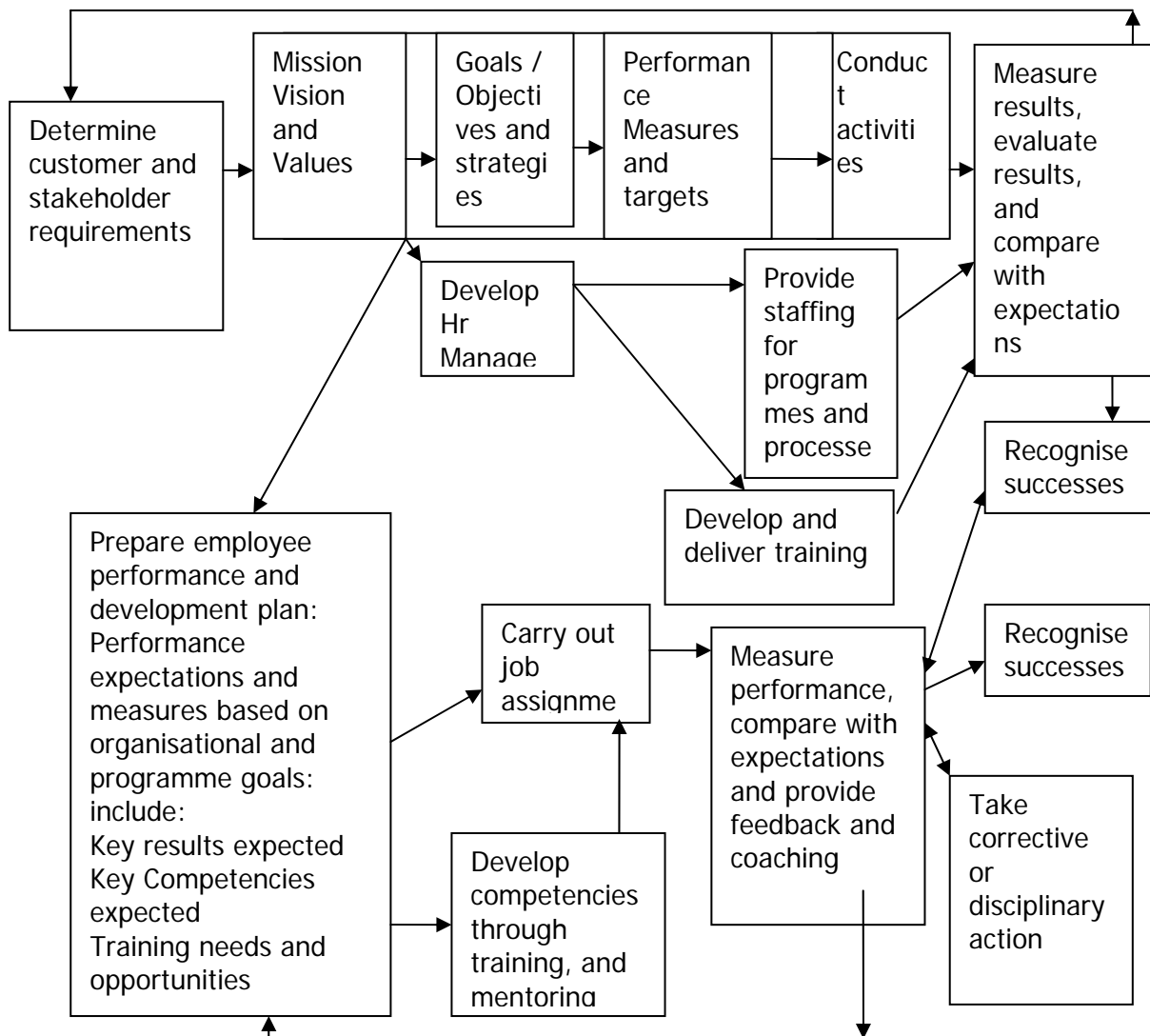
This is in terms of the following guidelines see drawing below:



Source: Grobler et al. (2006: 266). "Figure 1", as made from the "steps in developing a PA system" (Grobler et al., 2006: 266 – 267).

Annexure B

The process of Performance Appraisal



Source: Grobler et al. (2006: 263)

Annexure C

Questionnaire

Kindly answer the following question to the best of your experience and ability:

Section A

Ranking in the Department of Correctional Services

1. Have you ever worked in any other department other than Correctional Services in the public sector in South Africa?

Please make your choice below by checking next to your answer:

Yes	
No	

If you answered "yes" please answer the next question below:

If you answered "no" please go to question 4

2. What is the name of this department that you have worked for?

Please state the name of the department you worked for below:

3. How many years did you work in this department as mentioned in Question 2?

Please tick next to the answer in the table below:

Number of years	<i>Please check the appropriate box</i>
Just under 1 year but not more than 3 years	
Between 3 and 6 years	
Between 7 and 10 years	
Between 11 and 20 years	
More than 20 years	

4. How many years have you been working in the Department of Correctional Services?

Please tick next to the answer or please check the appropriate box in the table below:

Number of years	<i>Please check the appropriate box</i>
More than one year but not more than 3 years	
Between 3 and 6 years	
Between 7 and 10 years	
Between 11 and 20 years	
More than 20 years	

5. What is your rank?

Please indicate your rank in the following table by ticking or checking the appropriate box next to your rank:

Rank	Please check the appropriate box
CDCs	
Director / ACs	
Deputy Directors	
Assistant Directors	
SCOs	
CO I	
CO II	
CO III	
Other	Please state here.....

6. How many years have you been in your current position?

Please make your selection in the selection box next to the name of your facility in the table below:

Number of years in current position	Please check the appropriate box
More than one year but less than 3 years	
Between 3 and 6 years	
Between 7 and 10 years	
Between 11 and 20 years	
More than 20 years	

Section B.

Prisons where the respondents are based and experience

7. Could you indicate which area/prison/ management area you are working at?

Please make your selection in the selection box next to the name of your facility in the table below:

Prison/ Centre	Please check the appropriate box
Bellville Community Corrections	
Goodwood Prison	

8. How many years have you been working in this facility?

Number of years	Please check the appropriate box

More than 1 year but less than 3 years	
Between 3 and 6 years	
Between 7 and 10 years	
Between 11 and 20 years	
More than 20 years	

Rating of performance appraisal by the Department of Correctional Services

9. How would you rate performance appraisal as done in the Department of Correctional Services?

Select most appropriate answer by ticking one of the following:

Excellent	
Good	
Satisfactory	
Poor	
Very poor	

10. What are your reason/s why you have rated correctional services performance appraisal system the way you have done in the question above?

Please state your answer in the space provided below:

Section C

Knowledge of performance appraisal and training on performance appraisal

11. Have you ever been given information, for example, during induction/ orientation or basic training or workshop on how performance appraisal is done in the Department of Correctional Services?

Please select by checking next to the most appropriate answer below:

Yes	
No	

If you answered "Yes" in the question above please answer the following question (question 10):

If you answered "No" please ignore question 10 below and go to question 11:

12. In what way was this information given to you?

Please select from the answers provided below by checking or add your answer in the space provided next to your choice:

Number of years in current position	<i>please check the appropriate box</i>
Basic Training	
Induction	
Orientation	
Workshop	
Other	<i>Specify....</i>

Training of employees on performance appraisal

13. Have you been inducted/ trained /work shopped on how performance appraisal is done in the Department of Correctional Services?

Please select from the answers provided below by ticking the most appropriate answer:

Yes	
No	

NB. If you answered “Yes” to the question above please answer the question below by ticking the block next to your choice.

If you answered “No” please continue to section D below.

14. How long ago did you undergo that training?

Please check next to the most appropriate answer in the space provided in the table below:

Less than a year ago	
Just over a year ago	
More than two years ago	
So long ago that I cannot even remember	

Section D

Concerns and compliments about performance appraisal in the Department of Correctional Services

Challenges of performance appraisal in DCS

15. In your opinion what are the problems / challenges with the manner in which performance appraisal is done in the Department of Correctional Services?

Please provide your answer in the space provided below:

16. In your understanding what are the causes to these problems or challenges you answered in the previous question above?

Please provide your answer in the space provided below:

Compliments of performance appraisal in the Department of Correctional Services

17. In your opinion what are the positive things with the manner in which performance appraisal is done in the Department of Correctional Services?

Please provide your answer in the space provided below:

18. In your understanding what are the causes to these worthy aspects of performance appraisals in the Department of Correctional Services?

Please provide your answer in the space provided below:

The effects of performance appraisals to DCS employees

19. Do you think that performance appraisals are done improperly in the Department of Correctional Services?

Please check one of the answers in the table below:

Yes	
No	

If you answered "yes" in the question above then please answer the following questions 18, 19 and 20 and then go to the next section

Or if you answered "no" please skip the following questions and go to question 21 below

20. What do you think are the effects of improperly executed performance appraisal in correctional services?

Please provide your answer in the space provided below:

21. In your opinion how would you classify the impact that improperly conducted performance appraisal have on employees?

Please select by checking next to the most appropriate answer below:

Good?	
Bad?	
No effect?	

22. What are your perceptions on the effects/results of poorly performed performance appraisal to individuals in the department of correctional service?

Please provide your answer in the space provided below:

If you answered "no" to Question 17 above then please answer the following question

If you answered "yes" to Question 17 above then please go to question 23

23.What do you think are the effects of properly executed performance appraisal to employees?

Please provide your answer in the space provided below:

24.In your opinion how would you classify the impact that properly conducted performance appraisal?

Please select by ticking the most appropriate answer below:

Good?	
Bad?	
No effect?	

Employees' reaction to the conduct of performance appraisal

25.What do you feel like during performance appraisal period and after performance appraisal period?

Please select by ticking an answer below that better describes your feelings during this time a little while after this time:

During performance appraisal period I feel like:

- a). Coming more regularly to work and working more as possible because I am more relaxed and excited during this time
- b). Staying out of work and working as less as possible because I am more stressed and bitter during this time
- c). I work as normal as possible during and after this time I do not let the process get to me

26.After performance appraisal period and during bonuses payments I feel like:

Please select by ticking an answer below that better describes your feelings during this time a little while after this time:

- a). Happy
- b). Bitter
- c). Not happy nor bitter

The perceived consequences of the department's handling of performance appraisal

27.What is your perception of the shortcomings of the way in which performance appraisal is handled by the Department of Correctional Services in relation to your answer in question 24?

Please provide your answer in the space provided below:

Section E

Improvement of bad and good score

28. What actions/ steps can be taken to improve your feeling after performance appraisal evaluation and during performance bonus payment with specific reference to the question above, question 24?

Please provide your answer in the space provided below:

Solutions to the challenges of performance appraisal

29. In your own opinion what do you think could be done to alleviate these problems (refer to Question 13/ 24) above with performance appraisal in DCS?

Please provide your answer in the space provided below:

General improvement suggestions

30. Could you please give suggestions as to how performance appraisal in the Department of Correctional Services could be improved?

Please provide your answers in the space provided below: