Performance Management in Practice:
A Study of the Public Sector and a specific Educational Facility

By

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Declaration

I, the undersigned, hereby declares that the work contained in this assignment 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.

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"These are the thoughts that go through my head on a Sunday afternoon"

Alanis Morissette

ABSTRAK

Prestasiebestuur is 'n aktiwiteit wat van allergrootste belang is in enige organisasie, hetsy die organisasie in die private sektor of die openbare sektor funksioneer. Die belangrike rol van prestasiebestuur binne die openbare sektor het egter aansienlik gegroei met die openbare sektor se hernude fokus op effektiwiteit, doeltreffendheid en ekonomie van aktiwiteite. Binne 'n omgewing wat toenemend gekenmerk word deur 'n skaarsheid van hulpbronne, word die toepassing van prestasiebestuur gevolglik 'n ononbeerlike komponent. Vervolgens bestudeer hierdie toegepaste meestersvlak navorsingstuk die rol van prestasiebestuur binne die openbare sektor. Die uiterste belangrikheid van hierdie navorsingstuk spruit uit die beperkte hoeveelheid navorsing wat daar binne hierdie veld gedoen is rakende die aanpassing en toepassing van prestasiebestuur, wat aanvanklik slegs binne die privaat sektor gebruik is, op die meer komplekse openbare sektor. Verder ondersoek die navorser deur middel van historiese en beskrywende navorsingsmetodes ook die gebruik van prestasiebestuur binne 'n spesifieke onderwysinstelling. Die werkstuk fokus gevolglik op die formulering en implementering van 'n prestasie metingsinstrument vir die meting van die prestasie van administratiewe en ondersteuningspersoneel verbonde aan die spesifieke onderwysinstelling, met die oog daarop om bestaande prestasie probleme binne die organisasie op te los.

ABSTRACT

Performance management is an activity of the greatest of importance in any organization, whether that organisation functions within the public or private sector. The importance of performance management has however grown greatly within the public sector due to a renewed focus on efficiency, effectiveness and economy of actions. Within an environment increasingly characterised by a scarcity of resources, the application of performance management has therefore become an essential component. This applied research study hence examines the role of performance management within the public sector. The importance of this essay is due to the fact that very limited research has been done in this field in South Africa concerning the modification and application of performance management, which was primarily a private sector initiative, on the more complex public sector. By making use of historical and descriptive research methods, the researcher furthermore analyses the usage of performance management within a particular educational facility. This research study therefore focuses on the formulation and implementation of a performance management instrument for the measurement of the performance of administrative and support personnel employed by the specific educational facility, with the objective to solve existing performance problems within the organisation.

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1. INTRODUCTION

Performance management, and the application thereof, has often been viewed with both trepidation and excitement. Just like organisations changed and evolved so did the perception, meaning and application of performance management. Just like organisations face new challenges every day, so does performance management. As such an integral part of the organisation, the importance of performance management and the role that it plays, needs to be understood and anticipated.

The introduction and existence of an effective performance management system forms part of an irreplaceable chain of assemblage that is essential for the continued survival and growing competitiveness of any organisation. The existence of an effective performance management system might just mean the difference between an organisation flourishing or decaying.

The modern-day employee is, however, operating or claiming the right to operate, in a more transparent and flexible environment. It is the researcher's opinion that this new development brings with it the requirement, from the side of the employee, of knowledge regarding employer expectations concerning their daily performance and career success. The only valid way to fulfil this need is through an effective and comprehensive organisational wide performance management system. Performance management therefore fulfils the dual function of ensuring the competitiveness of the organisation whilst simultaneously answering the needs of the employee to be informed of his or her employer's expectations.

This masters-level research study therefore explores the meaning of performance management, the effectiveness of performance management, different appraisal techniques, the operation of a performance appraisal system and the actual performance appraisal process in an attempt to bring about wider understanding of the importance of this activity. This will also shed some light on a process which employees often view with a great deal of scepticism and antagonism. Furthermore, the study explores the

adaptation, applicability and usage of performance management within the public sector. According to Rhodes (1997) in the last fifteen year there has been a growing tendency within governments to make government smaller, more responsive, more efficient and more effective. This has also become a trademark within political parties' rhetoric during election campaigns. Performance management and the value that it can add in this context is therefore undeniable.

The distinctiveness of the public sector in comparison with the private sector is irrefutable. The researcher will therefore explore how the practice of performance management can be adapted to the very specific needs of the public sector. The assignment also focuses on the applicability of performance within one specific sector of the public sphere, namely the usage of performance management measures within the administrative structures of schools. For even schools have come under focus regarding their perceived actions or inactions in measuring the levels of performance of their employees, whether academic, administrative or support staff in nature. It is therefore of the utmost importance that schools be able to justify their decisions made in regards to performance. Justification for their performance measurement can only be achieved where a school has a comprehensive, representative, organisation-wide performance management system in place. The research study therefore takes the additional step of documenting the researcher's own experience of trying to formulate and design a performance measurement instrument for the specific use of administrative and support staff within a particular education facility.

2. METHODOLOGY

In the restructuring process currently taking place within the public sector on a global scale, the issue of performance management forms an integral role in all attempts to put forth an efficient, effective and responsive public sector. This is also a challenge faced by the South African government. Performance management is therefore an issue that needs to be addressed on every level of government and state, from national departments to individual institutions. For the purposes of this study, the researcher decided to look at Mikro Primary School (refer to Chapter 7) and its attempts to implement performance management. The problem with which this assignment will therefore deal with is the challenges of performance management and its application to the public sector in general and Mikro Primary School specifically.

The researcher did preliminary research on the topic after which a meeting was held between the researcher, Mr. N. Walters (the principal of Mikro Primary School) and Mr. J. van Baalen (the Deputy Chairman of the school governing body). During this meeting it was decided that a performance measurement instrument would be designed for the posts of cleaning personnel, painter, secretary and information co-ordinator. The researcher was also asked to look at the job descriptions of the posts in question and to alter and develop them where necessary. As there are specific measures prescribed by the national Department of Education for the measurement of the performance of teaching staff, it was not necessary for the researcher to address the performance issues of these employees.

This research study is therefore an applied research project focussed on the formulation and implementation of a performance measurement instrument for the specific use for administrative and technical personnel attached to educational institutions, in order to solve performance management problems within that organisation (Brynard & Hanekom, 1997: 5). The researcher is however convinced that the specific instrument designed by the researcher can be applied successfully within other sectors.

A qualitative research approach was followed in order to promote better understanding and insight into the application of performance management, specifically within the public sector. The researcher followed an inductive logical process whereby the research project was initiated without an explicit conceptual framework (Van der Merwe, 1996: 279) (See also, Bouma & Atkinson, 1995: 9). This type of research is less structured and it was only after the data was generated from the research process that the researcher looked for links and patterns in the data. In the research process the researcher focussed mainly on historical and descriptive research in order to describe the current situation as accurately as possible (Brynard & Hanekom, 1997: 5) (See also, Van der Merwe, 1996: 287). The research study gives a rational explanation of performance management within the public sector as well as recent trends within the public sector. The researcher made use of both primary and secondary sources of information. In this regard extensive literature was used, obtained both in South Africa and the Netherlands. Use was therefore made of the extensive information resources available at the University of Stellenbosch. The researcher also spent a year in the Netherlands, gathering information at the Erasmus University of Rotterdam. Other research techniques utilised by the researcher included semi-structured interviews, questionnaires and participant observation (Booth, Colomb & Williams, 1995: 52).

The researcher held interviews with all the support and administrative personnel at the specific educational facility in question. The maintenance personnel were interviewed as a group, seeing that their jobs and job descriptions were very similar. The interviews with the secretary and the information co-ordinator were held on an individual basis. In an effort to gather any additional information, or information that did not come out in the interviewing process, questionnaires were sent out to the affected personnel and collected on a later date. Questionnaires were also sent out to the teaching personnel seeing that they are the people that are most directly affected by the activities of the posts in question, and their input would therefore be important.

All of the data assimilated through the interviewing and questionnaire process was utilised in order to design a performance management instrument tailored to the specific needs of the particular educational facility.

The researcher has also compiled a list of terms used throughout the document. Definitions are supplied in order to make this research study as accessible to the reader as possible.

3. CONCEPTUALISATION

This research study makes regular use of specific terminology pertaining to the specific field under investigation. As such, the researcher believes that it is of the utmost importance that some of the most relevant terminology be defined in order to enable the reader to set the research study in context.

- Bureaucracy: A governmental administrative system that carries out policy through standardised procedures and is based on a specialisation of duties. An organisation in which levels of authority is hierarchically divided and in which all work are reduced to formal rules and procedures (Fox & Meyer, 1995: 15) (See also Gibson, Ivancevich & Donnelly, 1997: 378).

- 360-Degree Feedback System: The researcher believes that this refers to the systematic collection and feedback of performance data on an individual or group. This information is derived from inputs by all stakeholders (internal and external) in their performance (See also Ward, 1997: 207).

- Developmental Approach: The researchers believes this to be an approach in which the personal and professional growth needs of an individual is emphasised and realised (See also Bacal, 1999: 16; Armstrong & Baron, 1999: 71).

- Educational Facility: According to the researcher this entails all organisations involved in the schooling or training of individuals.

- Governance: Refers to a government's ability to fulfil its functions (Weaver, Rock & Kusterer, 1997: 85; Rhodes, 1997: 7; Pollitt; 1997: 43).

- Performance Appraisal: Also known as performance evaluation. Affords both the employee and employer an opportunity to sit down and look and discuss the concrete results of the employee's performance over the last performance management period. There is a wide range of different performance appraisal techniques available (Bruns & McKinnon, 1992: 71; Bacal, 1999: 104).

- Performance Governance: Governing in order to stimulate and enhance economy, efficiency, effectiveness and service quality in the provision of services and goods (Pollitt, 1997: 83; Osborne & Gaebler, 1993: 53).

- Performance Management: The researcher understands it as being a series of interlocking processes, attitudes and behaviours, which produce a coherent strategy for adding value and improving results for both the organisation and the individual. A systematic approach to the management of people (See also Bacal, 1999: 4).

- Performance Management System: An organisation-wide system integrated with the philosophy, culture and values of the organisation (Armstrong & Baron, 1999: 257; Hume, 1995: 21).

- Public Sector: The researcher believes it to be that section of the economy whose activities are under the control of the state. The instruments utilised by the state to fulfil its functions of the provision of goods and services (See also, Fox & Meyer, 1995: 107).

- Reviewee: The researcher believes this to be the employee undergoing the performance appraisal process.

- Reviewer: Seen by the researcher as being the individual (normally a supervisor or manager) reviewing the performance of an employee.

4. PERFORMANCE MANAGEMENT: A GENERAL OVERVIEW

This chapter will explore the general nature and purpose of performance management, by firstly placing it within the context of human resource management, of which it forms an integral part. The concept of performance management will also be explored and the researcher will attempt to determine what exactly this elusive concept entails. Furthermore this chapter will also discuss the practice of performance appraisal, which entails the physical measuring and interviewing of employees.

4.1. Human Resource Management

The important and growing role that human resource management plays within the modern organisation is incontrovertible. Whereas organisations in the past have focussed on the functions of production and finance, almost to the exclusion of all else, organisations of today have realised that a bigger focus on the organisation's human resources and capacity are necessary in order to stay competitive (Bacal, 1999: 2) (See also, Gibson, Ivancevich & Donelly, 1997: 6). Innovation, creativity and optimal work performance are concepts that can make the difference between an organisation being able to function competitively in a global system, that grows more complex every day, or stagnate (Armstrong & Baron, 1999: 7).

The evolution of the concept of performance management as a new Human Resource Management model, reflects this change of emphasis in organisations. This change can be viewed as a veritable shift of emphasis away from a system of command-and-control, toward a facilitative model of leadership (Swanepoel, 1998: 35). This change of emphasis in organisations underscores the vital role of education, training and development. Continuous learning becomes a prerequisite to successful performance and organisational effectiveness (Butler, Ferris & Napier, 1991: 121). Employees must be able to learn and develop effective technical and people skills in order to assume new responsibilities, as well as keep pace with, and anticipate the changing nature of work and the workplace (Armstrong, 1995: 35). The researcher therefore believes that there is recognition amongst both the employee and the organisation of the importance of relating work

performance to the strategic or long-term and overarching mission of the organisation as a whole.

Swanepoel (1998: 15) states that when a person is employed by an organisation, an employment relationship of exchange comes into existence. The organisation expects the employee to do certain work in return for some form of compensation or reward. An employment relationship is therefore established when the energy, knowledge, skills, attitudes and abilities of the employee are utilised to perform the tasks, duties and responsibilities related to the specific work that needs to be done. The employee then gets remunerated for his/her work (Butler, Ferris & Napier, 1991: 122).

Human resource management is therefore responsible for managing all aspects relating to and flowing from the employment relationship (Hume, 1995: 6). All actions relating to the interaction between the employee and the organisation must thus be managed, in such a manner that organisational success is enhanced and all stakeholders, including the employee, are optimally satisfied (See Addendum A). From this perspective, human resource management can be seen as an intervention process, aimed at continuously establishing and maintaining an optimal fit between employee and organisation. In order to fulfil this role human resource management needs to be a dynamic, complex and demanding area of management (Swanepoel, 1998: 16). Each employee is a complex human being and each organisation is a complex social entity (Ivancevich, Gibson & Donelly, 1997: 110). Human resource management is therefore, in the opinion of the researcher, aimed at constantly enabling employees and their employing organisations to be in agreement, as far as possible, about the nature of their working relationships and their reciprocal expectations, and at ensuring that these agreements are fulfilled as far as possible.

Amongst the spectrum of human resource management functions one will find one specific function that is, to a large extent, focussed on ensuring that the needs and demands of both parties, the employee and the organisation, are fulfilled. This function is performance evaluation within the context of performance management. This highlights

the vital importance of education, training and development (Swanepoel, 1998: 202). Continuous learning is a prerequisite for successful job performance and organisational effectiveness. Employees must be able to learn, work, adapt to change, solve problems creatively, and communicate effectively in diverse groups. In the researcher's view this would entail that employees must take personal and proactive responsibility for their careers to ensure future employability and advancement.

The realities of the contemporary workplace will continue to challenge existing paradigms and should be considered in managing the performance of employees in a dynamic working environment.

4.2. Performance Management

The concept of performance management is definitely not a new one. Williams (1998: 2) states that the need to measure performance has always existed, whether on an individual basis, an organisational basis or any level in-between. Supervisors and managers, in the course of their daily managerial activities, are continuously assessing the work performance of their subordinates on an informal basis. This informal assessment enables the manager to make the necessary decisions in order to utilise their staff in the most effective manner, motivating those whose performance is good, and correcting substandard performance. Performance management is not just another synonym for performance appraisal or any of the other terms used for this annual activity. It in fact encompasses this crucial and often neglected function, and much more (Bacal, 1999: 3). It is one of the oldest of the human resource management functions. Swanepoel (1998: 404) professes that performance evaluation per se is, unfortunately, the human resource function most often criticised and whose systems carry the greatest risk of either failing, falling into disuse or degenerating towards a meaningless, paperwork exercise. Increasingly competitive business environments, the criticism of traditional approaches to performance appraisal and the emergence of the concept of total quality management, have necessitated a shift in emphasis from performance evaluation to a total performance management process (Butler, Ferris & Napier, 1991) (See also Lockett, 1992 & Spangenberg, 1994). The concept of performance management therefore entrenches

performance evaluation as a legitimate and integral part of a manager's job to get employees to achieve the results and goals that are expected of them, effectively. Performance management is therefore a much wider concept than performance evaluation. As the world therefore witnesses the ending of one millennium and the beginning of a new, performance management is becoming increasingly important as organisations try to improve productivity in order to meet new challenges and survive and prosper in this period of transformation (Boase, 1995: 40).

Performance management can, however, not be encapsulated within one manifestation. The precise nature of performance management also still remains indistinct (Williams, 1998: 2). However, one can attempt to define performance management as a systematic approach to the management of people. This process is accomplished by looking at performance, goals, measurement, feedback and recognition as means to motivate people, in order for them to attain their maximum potential. All formal and informal measures employed by management and the organisation has as their objective increasing commitment as well as individual and corporate effectiveness and efficiency. Performance management can therefore be seen as a series of interlocking processes, attitudes and behaviours, which produce a coherent strategy for adding value and improving results (Hume, 1995: 35) (See also Bacal, 1999: 4) (See Addendum B). Job-relevant strengths and weaknesses of employees are therefore identified, observed, measured, recorded and developed. An effort is therefore made to improve and extend job performance through the encouragement of initiative, identifying current and future training and development needs, encouraging self-development and ensuring equality of opportunity (Bacal, 1999: 7). Furthermore, it cannot be overemphasised that performance management and appraisal are not tools for punishment (Boase, 1995: 40). In a pure form, performance management should indeed focus on the accomplishments of individuals, teams, etc.; on competency requirements for ensured success; as well as values that influence work quality and climate (Venter, 1998: 45).

In order for the performance management system to be effective, it needs to form part of the philosophy, culture and values of the organisation as a whole. Values such as

participation, improvement of productivity and a concern for the wellbeing of the employee should be taken into account. These values not only influence the way in which performance management is approached, but also the way in which systems are designed and developed (Katz, 1996: 45) (See also Hume, 1995, 37). By involving the people that are eventually influenced by the system, in the development of the system, means that the system will better meet the needs and interests of those who are directly affected by the performance management process (Williams, 1998: 3). By involving stakeholders in the process of development and design, a feeling of trust and being valued is nurtured.

Linked to this need for participation is the need for diagnosis and analysis. Emphasis is placed on the need to maintain, monitor and actively manage the performance management system (See Addendum C). The performance management systems should not be rigid, but be able to transform in accordance to the changing needs of the individual and the organisation (Williams, 1998: 2). In the very unique South African environment, a developmental approach to performance management, which embodies concepts such as employee wellbeing and fairness of treatment is not only appropriate, but in fact essential.

4.3. The Validity of Performance Management

Performance management has different meanings for different people. Some link these processes of evaluation to pay and promotion; others see it as a way to bring rationality and order to the work of the individual. Another group may see it as an entire people management system.

No matter the meaning attached to performance management, it still stays a controversial and hotly debated issue. Normal curves, in performance reviews, guarantee that the performance of most employees gets rated as average or below (Armstrong & Baron, 1999: 69). This has obvious demotivating effects on employees and their performance. Communication between management and their employees is furthermore often unsatisfactory and goals are quite often unsuitable as a performance measure (McLagan, 1994: 23) (See also Bacal, 1999).

Seen in a historical perspective performance management provided a rationale for justifying pay increases (Seltz & Heneman, 1996: 19). Performance goals were devised to provide a clear focus for review. Managers have proved to be reluctant evaluators at best and have tended to rate their subordinates too highly. They furthermore also fail to ensure that appropriate goals exist. With the existing tendency towards unrealistically high ratings, key decision-makers look to "normal distribution" as an antidote. It is hoped that by forcing a distribution, managers will give tougher feedback. This results in the universally hated ranking process, where employees compete against each other for money, recognition and self-esteem. Both management and employees resist the ranking approach (Armstrong & Baron, 1999: 98). These conditions had a decidedly negative impact on performance management within organisations, causing low trust due to the poor management of the process, as well as a marked erosion of self-esteem (Spangenberg, 1994: 4). Furthermore it caused downward pressure on performance due to a reluctance on the side of employees to set challenging goals and thereby jeopardise their performance evaluation. It also contributed to a reduction in willingness to acknowledge, take responsibility for, and communicate problems or errors. It furthermore reduced the willingness to work as a team (McLagan, 1994: 23).

This corruption of performance management over time demands a radical change in the way organisations manage the performance of people. Another reason for addressing change within performance management is the changing needs of organisations. McLagan (1994: 23) sees flexibility, quality, external focus, innovation and creativity, waste elimination, global awareness and global competitiveness as essential factors to a successful organisation. Forming the foundation for all these key factors, are people. People are therefore the key to achieving organisational goals.

For performance management to work, it is essential that the purpose of performance management for that specific organisation be clear (Armstrong & Baron, 1999: 14). As such performance management can serve as a vessel for strategy implementation, for creating a participative culture and/or as a useful source of information for personnel

decisions (McLagan, 1994: 24). The process should therefore be adapted to the personal needs of the organisation. The core reason behind performance management within contemporary organisations, however remains to evaluate the employee's performance fairly, in order to give feedback on performance, and to improve performance continually so as to meet individual, group and organisational goals (Katz, 1996: 45).

When used for the purposes of strategy implementation, performance management should focus on helping people understand and assist in creating the larger goals and value priorities of the organisation. In this capacity performance management ensures that teams and individuals translate and internalise the principal priorities as goals of their own. McLagan (1994: 24) contends that performance management ensures that the budget and resource allocation process is truly interactive with goal setting, rather than being a fixed decision that occurs before goals are developed. Performance management also simultaneously provides continuous feedback for teams and individuals regarding their performance.

Performance management also proves itself as a powerful culture carrier. The different processes of goal setting, budgeting, day-to-day priority decisions and feedback can be conducted in a paternalistic way, a participative (team-oriented) way or an individualistic manner. The culture of the organisation will thus mirror the characteristics of the performance management process (Spangenberg, 1994:3) (See also McLagan, 1994: 24).

It is furthermore also quite clear that performance management processes carry important information for personnel decisions. Such decisions should, however, be disconnected from the performance management process. If these two issues are too closely linked, it could lead to a lowering of goals, a reduction in risk-taking and the concealment of errors and problems, which in turn derails the whole purpose of performance management (McLagan, 1994: 24).

Performance management should be installed as an organisational process that has the stature of budgeting, business planning and business review. The installation of team and

individual goal setting and performance on the business calendar can be used to attain these goals (Armstrong & Baron, 1999: 111). Communication should become open and transparent and unnecessary organisational secrecy should be stopped, to prevent the discreditation and disempowerment of management. Increased involvement and personal accountability will also strengthen the legitimacy of the whole performance management process (McLagan, 1994: 24). The customer, team members, other teams and management should all contribute to goal setting (and if possible should be involved in performance feedback and review).

With the changing of times, new skills and mindsets are needed in the organisation. This is not just essential where performance management is concerned, but for the organisation as a whole. It is imperative that leaders become better communicators. Leaders must furthermore design their organisations so as to ensure that bureaucracy is minimised, that the fast flow of information as well as products and services is optimised and that involvement and discipline are ensured. It is also important that the leader sees to the educational needs of their employees. For employees to become more participative in this whole venture, they must develop the necessary skills for self-management (McLagan, 1994: 25). Employees should be allowed to express their desires and aspirations for the future. Training and developmental needs should be identified and acted on (Wynne, 1995: 30). Employees must furthermore learn to focus on the needs of the customer and the need to continuously improve in their own work, even and especially where it concerns moving beyond their job description. Employees will have to learn to take full responsibility for their roles as individual contributors and as members of a team. On their side, the organisation needs to see that the intrinsic needs of their employees are seen to by (McLagan, 1994: 25):

- Ensuring that employees have more control over their goals, their choices of behaviour and especially their performance feedback.
- Making sure that the work that people do is congruent with their career goals and capacity.
- Valuing people's opinions and contributions.

- Eliminating punishment or ensuring that positive to negative feedback ratios are kept three to one.
- Ensuring that every employee has the right to know the basis for pay decisions.

The usage of direct communication and decentralised decision-making, as well as open information policies further the legitimisation of the whole process of performance management. Now, is the time to act. There is a pressing need for organisations to re-educate and actively use appropriate performance management processes.

4.3. Performance Appraisal

Performance management is a much wider and encompassing concept than performance appraisal. Performance management is a continuous process, culminating in the physical performance appraisal. Organisations normally embark on performance appraisals on a yearly or quarterly basis. Performance appraisal therefore affords both the employee and employer an opportunity to sit down and look and discuss the concrete results of the employee's performance over the last performance management period (Bacal, 1999: 7). There is however a great many different performance appraisal techniques available and in use in organisations. A great percentage of those appraisal techniques in use are however outdated, and therefore incapable of dealing with the complex demands made upon it in the working environment.

4.3.1. Traditional Performance Appraisal Techniques

The introduction of performance management systems, such as management by objectives (MBO) as well as management processes such as behaviourally anchored rating scales (BARS) does not prevent organisations from continuing their usage of even more archaic methods such as essay forms, peer ranking, and "trait" rating scales (Swan, 1991: 17). The different types of evaluation can, however, be classified within two main categories, namely as qualitative or quantitative evaluation.

Qualitative evaluation encapsulates all those evaluation techniques that give an indication of the level of performance, without using numerical values (Liebenberg, 1996: 294). The researcher will therefore give a short summary of the qualitative evaluation techniques that proved the most popular in the past.

Ranking is a fairly easy appraisal technique, used where a small number of employees are concerned (Bruns & McKinnon, 1992: 18). The present employees are ranked from the best to the worst performer. This technique is based on the employees' overall performance or categories of performance (Cascio, 1982: 43).

Global essays and ratings incorporate exactly what its name suggests. At the appointed appraisal time, the performance appraiser/evaluator is handed a form with the question: "What is your overall evaluation of this individual's performance for the past year?" The appraiser then exercises his/her literary skills by writing a composition on the individual's performance (Swan, 1991:18). The evaluator therefore writes an essay on what he/she perceives as the employee's performance. Nothing on the form actually forces the evaluator to back up his/her judgement or suggests what criteria to use for decision-making. Only the evaluator decides what data, if any, is relevant to the appraisal. This specific technique is very time-consuming and the results not only depend on the performance of the employee, but also on the evaluator's writing skills. It furthermore makes efforts to compare employees' performance levels very difficult (Liebenberg, 1997: 295). A variation of this is the usage of the ratings, without writing an essay. Terms such as "outstanding", "satisfactory", "less than satisfactory" and "poor" are used (Cascio, 1982: 43).

Global essay and its variant performance appraisals are not in accordance with the new Labour Relations Act 66 of 1995 or the Basic Conditions of Employment Act of 1997. These techniques are legally indefensible and can not easily be shown as being job related. Both the accuracy and fairness of the instruments are questionable, because the same standard is not applied throughout the organisation (Armstrong & Baron, 1999: 32). This problem stems from the fact that each evaluator has his/her own set of criteria and is

even likely to apply different criteria to different employees, within the same job. Not only the employee, but also the organisation as such, suffers because of the inaccuracy of these techniques. The very nature of the method prevents the breaking down of the essay into dimensions of performance, which in turn limits its usefulness for placement purposes. These techniques furthermore provide a poor foundation for the evaluator's goals of providing feedback, coaching, counselling and motivating employees, because of its arbitrary and unconvincing nature (Swan, 1991: 20) (See also Armstrong & Baron, 1999: 32).

Four types of behavioural methods can be distinguished, namely the critical incident method, the behavioural checklist method, behaviourally anchored rating scales (BARS) and behaviour observation scales (BOS). Theses types of behavioural methods of appraisal will be discussed in more detail.

The Critical Incident Method is a behavioural-based appraisal method that documents unusual events and that denotes superior or inferior employee performance in certain aspects of his/her job. This method of performance evaluation was developed in the 1950's in answer to the flaws that became evident in the trait-based rating. Behavioural methods were developed to specifically describe the actions that are expected of the job incumbent, and what actions are not expected or acceptable (Armstrong & Baron, 1999: 38). The method is also very useful for providing the employee with developmental feedback (Sherman, Bohlander & Snell, 1998: 322). This method is only concerned with the facts of the employee's performance (Swan, 1991).

Throughout the whole of the year the evaluator documents both the positive and negative behaviour of the employee on the job. This data is then collected and compared. The critical incident method is seldom used on its own, and its value depends on the wider interpretative context in which it is placed and dealt with. The whole focus of this appraisal method is on observation and documentation. The degree of objectivity on the side of the evaluator could, however be a matter for concern. Furthermore, it is necessary that the relevance of the critical incidents, to the job, be motivated (Swan, 1991: 26). This

specific appraisal method facilitates employee feedback and development (Sherman, Bohlander & Snell, 1998: 322).

The behavioural checklist method is one of the oldest appraisal methods, which uses a list of statements that the evaluator believes to be core characteristics in the fulfilment of the job (Cascio, 1982: 48). The employee's performance is then rated according to the characteristics on this list.

Behaviourally anchored rating scales (BARS) make use of a series of vertical scales, one for each of the important dimensions of performance, as identified by a job analysis. The dimensions of performance identified are anchored by behaviours identified through a critical incidents job analysis (Armstrong & Baron, 1999: 39). The critical incidents are placed on a scale and are assigned point values according to the opinions of experts (Cascio, 1982: 49).

A committee consisting of subordinates and managers usually undertakes the development of the BARS. The committee identifies all the relevant characteristics and /or dimensions of the job (Cardy, 1998: 150). Behavioural anchors in the form of statements are established for each of the dimensions, after which several participants are asked to analyse the anchor statements and identify the job dimension to which it is applicable. Those anchors, on which at least 70% of the group agree as relating to a specific job dimension, are retained. Anchors are then attached to the specific job dimensions and organised on an appropriate scale according to the values that the group allots to them. The fact that employees participate in the development and design of a BARS leads to a greater acceptance of the performance appraisal process and of the performance measures that it uses. The involved procedure in the development of a BARS also guarantees scales that indicate a high degree of validity (Sherman, Bohlander & Snell, 1998: 323). However, it must be realised that the development of a BARS takes a considerable amount of time and effort. Furthermore, the scales are developed for a specific job and can therefore not be used for other jobs.

Although behavioural methods, as such, are placed within the domain of qualitative evaluation, BARS is an example of a quantitative evaluation, as is the case with behaviour observation scales.

Behaviour observation scales (BOS) corresponds with BARS in the sense that both make use of critical incidents. BOS measures the frequency with which certain observed behaviour takes place (Reilly & McGourty, 1998: 262). The value of BOS lays in the fact that it allows the evaluator to play the role of observer rather than that of a judge. This makes the task of the evaluator, to provide constructive feedback, easier. BOS is frequently preferred over BARS or trait scales because it maintains objectivity, distinguishes good from bad performers, provides feedback and identifies training needs (Sherman, Bohlander & Snell, 1998: 323).

Quantitative evaluation is utilised by translating performance into numerical values (Liebenberg, 1997: 295). The researcher will present a concise description of the quantitative evaluation techniques most widely used.

Trait rating approaches remain one of the most commonly used performance appraisal techniques. These approaches to performance appraisal are meant to measure the extent to which an employee possesses certain characteristics, that are seen as being essential to the effective and efficient accomplishment of the job (Sherman, Bohlander & Snell, 1998: 319). Typically any organisation that plans on using a trait rating approach will first conduct an informal analysis to determine what personality and other traits should be included in the measuring (Swan, 1991: 21).

The graphic rating-scale is an approach that rates each employee according to a scale of characteristics. Each trait or characteristic to be measured is represented on a scale. The evaluator uses this scale to indicate to which degree the employee possesses the specific characteristic. The many variations of the graphic rating-scale differ on the grounds of the characteristics on which the employee is to be rated, the degree to which the performance dimension is defined for the rater and how clearly the points on the scale are defined. By

training evaluators and by including descriptive appraisal guidelines in a performance appraisal reference book developed by the organisation, subjectivity bias can be reduced. At the same time the rating form should contain enough space for comments on the behaviour associated with each scale (Sherman, Bohlander & Snell, 1998: 319). By making use of these comments the accuracy of the whole of the appraisal process is improved (Cardy, 1998: 151). The evaluator is forced to think in terms of observable employee behaviours while providing specific examples to discuss with the employee during the appraisal meeting.

The mixed-standard scales is a modification of the basic rating-scale method and compares standards with each other (e.g. better than, equal to, worse than). The evaluator is therefore given three specific descriptions of each trait. The three descriptions used in the scale reflect three levels of performance. The three descriptions are randomly sequenced to form the mixed-standard scale (Cascio, 1982: 48).

The forced-choice method requires the evaluator to choose from statements designed to differentiate or distinguish between successful and unsuccessful performance. The statements that are used are placed in pairs, with the statements appearing to be equally favourable or equally unfavourable (Bruns & McKinnon, 1992: 21). This specific form of appraisal does not lend itself to be used as a developmental tool for employees. The cost of establishing and maintaining the validity of this instrument also makes it a doubtful method to use.

Other than trait or behavioural methods, results methods evaluate employees on their accomplishments, the results they achieve through their work. It is argued that results methods of appraisal are more objective and empowering. Sales figures, production output and the like involve less subjectivity and is therefore less vulnerable for bias. Results methods of appraisals furthermore give employees responsibility for their outcomes, therefore empowering the employee (Sherman, Bohlander & Snell, 1998: 325).

Productivity measures are used to link the accomplishments of the employee with the results that benefit the organisation. This method can thus be used to directly link employee and organisational goals. Problematic of productivity measures though, is that it does not take into account that some circumstances are beyond the employee's control. It would be unfair to hold the employee accountable for results that are contaminated by circumstances beyond his/her control. It could furthermore lead to a focus on short-term goal attainment, while the long-term ramifications of these actions and results are neglected (Sherman, Bohlander & Snell, 1998: 326). Often it is not enough to just look at the results achieved - factors such as co-operation, adaptability, initiative and a concern for human relations may also filter into job success. Where these circumstances are prevalent, it would be necessary to consider both the results attained and the methods used to attain those results.

Management by objectives is a management philosophy that studies performance in terms of employee achievement of goals set by mutual agreement between the employee and the manager. These set objectives are then used as the basis for appraisal (Armstrong & Baron, 1999: 35) (See also Labovitz & Baird, 1982: 51). In order to guarantee the successful use of management by objectives, it should be viewed as part and parcel of the total system for managing, not as merely a small part of the manager's duties.

The reliability and validity of the traditional approaches to the measurement of performance, discussed in the section above, have come under increasing criticism.

4.3.2. The Value of a 360-Degree Feedback Instrument

360-Degree feedback is amongst the latest and most exciting developments in the field of performance management. Ward (1997: 207) defines it as: "the systematic collection and feedback of performance data on an individual or group derived from a number of the stakeholders on their performance." The performance data generated in this process of performance assessment can be generated for individuals from the person to whom they report, their direct reports, their peers and their external and internal customers (Armstrong and Baron, 1999: 313) (See also Addendum D). The author, furthermore,

also included a self-assessment process in order to make the process as participative and representative as possible. This is also an attempt to assuage the development needs of the employee.

This model's practical usefulness is therefore quite clear. Where the developmental approach is followed performance improvement is seen as the natural outcome of a successful feedback process, within the boundaries of 360-degrees feedback. The potential for personal and professional growth is therefore emphasised and realised. The strengths and weaknesses of the individual or team are identified and managed as development opportunities. By following this long-term and future-orientated approach the organisation ensures the growth of its employees and therefore ensures its own future (Armstrong & Baron, 1999: 315). The researcher hoped that this would also have a significant impact on the high employee turnover exhibited amongst the support personnel at the specific educational facility studied. It is therefore clear that the 360-degree feedback is a developmental orientated performance management instrument, which systematically extends or grows from a development basis towards a fully-fledged performance management system.

360-Degree feedback overcomes the prejudices inherent in other appraisal instruments due to the fact that it does not rely solely on the views of one person and the inherent prejudices that one person may have. The system can become a powerful instrument for organisational intervention by increasing an awareness of the importance of aligning leaders' behaviour, work-unit results and customer expectations, as well as increasing employee participation in leadership development and work-unit effectiveness (London & Beatty, 1993).

In the development and finally the implementation of any 360-degree feedback system, certain steps should be taken in order to ensure the success of the system within the specific organisation. Armstrong and Baron (1999) set these steps out:

- The *objectives* of the system need to be *defined*. It is of utmost importance to define the specific needs of the organisation and to mesh it with the specific characteristics of the performance management systems developed and implemented by the organisation. In terms of the specific educational facility studied for the research assignment, it was necessary for the facility to align its own performance management practices with current labour legislation.

- The *end-users* of the instrument need to *be identified*. For the specific purpose of the research study, these actors were identified as the administrative personnel (a secretary and an information-co-ordinator) and the support personnel (cleaners and a painter).

- It needs to be decided *who will give the eventual feedback*. Therefore the actors in the feedback process need to be identified, whether it is the individual's manager, direct reports, team members, other colleagues or internal and external customers. A decision also has to be made on whether the Human Resource Department staff or outside consultants should be involved in helping managers make use of the feedback. Direct supervisors were identified as the actors responsible for the feedback process in the particular educational facility.

- *Decide the method of collecting the data.* A decision has therefore to be made on whether to design the performance management instrument in-house, or to make use of a consultant's services. The particular educational facility decided upon making use of the services of an outside consultant's (the School of Public Management and Planning) services to design an appropriate performance management instrument.

- *Decide data analysis and presentation.* Once again, the organisation has to decide whether to design their own instrument or to use a standardised one. The aim should however be to keep it as user-friendly as possible. A specific performance management instrument was the designed for the particular educational facility in order to ensure that the specific needs exhibited by the facility was met.

- *Plan an initial implementation programme.* It is advisable to pilot the process, rather than summarily implementing the process. The purpose of 360-degree feedback, its method of work and the actors involved in the process should be communicated to all involved parties. The actors affected by the performance management instrument

were consulted throughout the design of the instrument. The affected actors were also consulted with the completion of the instrument in order to ascertain their satisfaction with the final product.

- *Analyse the outcome of the pilot scheme.* Feedback should be gathered on how those involved experienced the process. This feedback should be analysed and the necessary changes made. The affected actors' input and feedback was invaluable throughout the process of designing the performance management instrument.

- *Plan and implement the full programme.* This step should include briefing, communicating, training, and support from the human resource department.

- *Monitor and Evaluate.* Monitoring should be an ongoing process. It is however of the utmost importance to give special attention to this facet with the initial implementation of the feedback process. All reports from the specific educational facility points to overall satisfaction with the implemented performance management instrument. Continued support is however needed, in order to deal effectively and efficiently with any changing needs of the particular educational facility.

4.3.3. The Operation of an Appraisal System

Organisations are much more interdependent than they used to be. This realisation has still not hit home with everyone though (Osborne & Gaebler, 1993: 21). Concerning performance management and the implementation of appraisal systems however, an integrated system of appraisal is more likely to meet the needs of the majority of workers than the disjointed and haphazard usage of a variety of systems throughout the organisation (Wynne, 1995: 33).

The above-mentioned is, of course, the ideal, although it is not always possible to implement a uniform system of appraisal across the whole of the organisation. It is therefore quite possible to design a system for a part of the organisation. Just because the appraisal system's focus is more localised, it does not mean that issues such as communication, development and training can be put on the backburner. A localised appraisal system should receive as much, if not more, support than an organisation wide system (Hume, 1995: 47).

Performance-related-pay – that is, where an employee is remunerated above base levels for exceptional performance – is a complex matter. Many existing appraisal systems have a direct link to pay (Armstrong & Baron, 1999: 239). It is, however, imperative to remember that the sole purpose of performance management is not to determine pay or the increase thereof. Great care should be taken that this point of view and expectation does not exist within the organisation as it creates false hopes and expectations, and can dominate the whole appraisal system (Van Wyk, 1996: 21) (See also Seltz & Heneman, 1996). At the same time this researcher would like to caution the reader against summarily dismissing the possibility of performance-related-pay (PRP) and the merits thereof. Pay plays an important motivational role for employees, especially for employees employed in menial capacities. These specific employees can not be satisfied/motivated by using the same techniques employed for higher post levels. These lower job levels often entail menial, repetitive work with no real prospect for advancement up the organisational ladder. In cases such as these, pay is often the only possible motivational device to be used in performance appraisal.

The whole matter of PRP is however highly controversial, with experts divided over the issue and with strong arguments in favour of both sides (Wynne, 1995: 34).

The storm that blows around this issue belies the very straightforward objectives of PRP. In today's highly competitive world it is getting harder and harder for organisations to get the talent they so desperately need to survive. Big salaries, and various other forms of compensation are all designed with the idea in mind to both get the talent you need and then to keep and develop it (Armstrong & Baron, 1999: 243). From a performance management point of view, the ultimate objective is to create a workplace environment that is filled with both natural work reinforcers (intrinsic) and external rewards and recognition (extrinsic), all directed to those behaviours necessary to achieve results that make a difference (Seltz & Heneman, 1996: 15). PRP is used to emphasise the high degree of importance that the organisation puts on the attainment of and commitment to high levels of performance. Performance-related-pay is also used to provide additional motivation for employees, by enabling them to gain increases in pay. The system

furthermore ensures that people are rewarded according to the contribution they make to the organisation. Connected to this, is the fact that it makes a clear distinction between the rewards received by the high performers and the rest. This could lead to an increase in performance across the whole of the organisation (Wynne, 1995: 34). In periods of cultural change in the organisation, this method reinforces the whole process. Pay-related-performance helps to support the introduction of a wider system of performance management. It also contributes to a wider acceptance of the system, when employees find that they are benefited by the appraisal system. The method also contributes to the recruitment and retainment of high performance employees (Seltz & Heneman, 1996: 6)(See also Hume, 1995: 5).

It must be emphasised though, that employees must be reassured that the purpose of the PRP is not to cut the pay bill as this could lead to intense dissatisfaction and low levels of morale. As previously stated, the motivational value of performance related pay is not clear, with some experts believing that it acts only as a short term motivator, while others see it as an effective means for motivating employees over a long term basis. Performance related pay, implemented on its own (in isolation) without the necessary support of a complete performance management system will however not have the desired effect of boosting organisational performance (Wynne, 1995: 34) (See also Armstrong & Baron, 1999: 249).

When making the decision regarding the overhaul of the old appraisal system or the introduction of a new system, consideration will have to be given to whether one should include a direct linkage to pay, or not (Wynne, 1995: 35). This is an important question and should be debated fully.

The performance appraisal meeting itself, is an excellent opportunity for open and honest communication between the appraiser (most often the employee's supervisor or manager) and the employee. To achieve such a state of openness in communication between manager and employee there must be a commitment on the side of the organisation to a communications-program that covers the whole process. Continuous, open and honest

communication between manager and employee must also become part of the organisational culture (Guile & Fonda, 1998: 20). The importance of communication is however often misjudged and neglected by organisations, to their own peril (Wynne, 1995: 35).

Effective communication is required at all organisational levels between all relevant parties (Wynne, 1995: 36). So as to ensure that the employees feel a degree of ownership in the development and introduction of a new appraisal system, they should be kept informed of the whole process. Information surrounding the specific aims and objectives of the appraisal system should be made known to employees, as it becomes available (Guile & Fonda, 1998: 19).

With the completion of the development of the new appraisal system, face-to-face briefing sessions should be held so as to introduce, explain and answer any questions around the new appraisal system. Sessions such as these can be used to deal with any uncertainties and concerns from the employees' side, as well as from management. Subsequent training, briefing and the supplying of information to both appraiser and those people to be appraised, is of significant importance. Ample opportunity should be allowed for questions and discussion about any aspect of the appraisal process (Guile & Fonda, 1998: 20). This process should be repeated just prior to the actual appraisal meeting. This opportunity should also be utilised to hand out the self-appraisal and peer-appraisal forms (Wynne, 1995: 36).

It is the researcher's firm belief that the success of a new appraisal system is hugely dependent upon open and effective communication, as a method to allay suspicion and distrust.

4.3.4. The Appraisal Interview

Although often not a point that is given much thought, the setting in which the appraisal interview is held can have a definite effect on the results of the appraisal. According to Wynne (1995: 76) there are some general guidelines that can be followed in this regard.

The appraisal interview should be conducted (Spangenberg, 1994: 181):

- In a quiet office where there will be the minimum of interruptions;
- In a neutral office (therefore not the appraisers office).

How should the room be arranged (Wynne, 1995: 76)?

- Ideally both parties should have comfortable chairs, placed at a round table;
- If not, the appraiser should arrange the chairs so that they are placed in front of the desk;
- It should be arranged that tea or coffee is available, thereby helping to create rapport and a more relaxed atmosphere;
- Keep the desk clear of all papers that are not linked to the appraisal.

The atmosphere (Spangenberg, 1994: 196):

- There should be adequate time allowed;
- Privacy should be ensured;
- A feeling of informality should be promoted;
- The appraisee should be put at ease.

Although the actual conducting of the appraisal is referred to as an interview, it should rather be seen as a meeting. It is therefore a more informal and equal encounter than an interview. Although a meeting might be more informal, it is still one which needs to be carefully prepared for and should have a clear structure to follow (Wynne, 1995: 77).

The structure of the appraisal form will usually be used as the structure for the meeting. The appraisee and his/her concerns and agenda should however be accommodated within this framework. Each area of concern for the organisation must, however, still be covered. The structure of the meeting will generally follow a pattern such as the following (Wynne, 1995: 77) (See also Orpen, 1994: 26):

- With the opening of the meeting emphasise the informal nature of what you want to achieve. The appraiser must stress the fact that he/she is there to listen and share, and not to tell or prescribe;
- Give the appraisee an indication of the amount of time allowed for the meeting;
- Repeat, explain and clarify the purpose, objectives, process and meaning of the meeting;
- Highlight the joint nature of the discussion and the opportunity to review performance and development plans;
- This discussion should flow naturally into the latter part of the meeting in which performance during the last period, objectives, performance in the key result areas, strengths and weaknesses and opportunities for improvement are discussed;
- A general discussion about the organisation and the functioning thereof;
- Career aspirations, opportunities and development needs should be covered;
- Agreement on the performance objectives for the next period should be reached;
- Summarise the actions agreed upon and the next steps to be undertaken.

Praise and criticism is irreparably connected to appraisal. This issue should however be handled with care, so as not to undermine the motivational objective of the performance management process. Wynne (1995: 81) and Armstrong (1995: 35) look at some general guidelines.

People tend to react very defensively when faced with criticism. Therefore, the way in which the criticism is presented can greatly influence the way in which it is received (Wynne, 1995: 81) (See also Armstrong, 1995: 31).

- The exchange should be on an adult-to-adult basis, rather than allowing it to slipping into 'ticking-off'.

- The appraiser should practice prudence in his/her choice of words.
- Try to turn a negative message into a positive action.
- The criticism should focus on process problems, not on character defects, or the individual.
- Watch your body language.
- Avoid the usage of judgmental words.
- Stick to the facts.

Praise acts as a powerful motivator (Wynne, 1995: 81) (See also Armstrong, 1995: 31).

- It must be specific.
- Give it as soon as possible, after the praiseworthy event occurred.
- Use positive words.
- Give it whenever it is deserved.
- Give it informally, but repeat it formally.
- Show your pleasure in their success.
- Never mix praise with criticism.
- Watch your body language.

In some instances, appraisal meetings are highly successful. The appraisee leaves the meeting feeling that something has been achieved, that they have had the opportunity to express their views and that they have been listened to. The appraiser feels that they have deepened their understanding of the employee and have created a basis from which to build more effective communication and management (Wynne, 1995: 80). Other appraisal meetings are highly unsuccessful, and both the appraisee and the appraiser leave the meeting feeling frustrated and exasperated.

An important component in achieving a successful meeting lies in how the meeting is brought to a conclusion.

At the end of the appraisal meeting (Mahler, 1982: 101):

- Make every effort to resolve any outstanding disagreements;

- Agree on the actions, objectives, training and any other plans to be undertaken;
- Summarise, so that both parties understand what has been agreed upon;
- Confirm future actions;
- Both parties should sign the appraisal form;
- End on a positive note.

The strength and importance of an effective performance management system lies in this phase. The performance management process is a continuous process. The process therefore does not end with the appraisal meeting. If the truth were told, most of the work only starts once the appraisal meeting is finished. The agreements that are reached during the appraisal meeting must still be implemented. The actions, objectives, training and other plans agreed upon during the meeting must be given life. This is then the remaining task of the performance management process. The performance management process remains flexible to answer and react to changing organisational and personal needs.

The successfulness of performance management and its application within the private sector has made both public managers and politicians eager to incorporate this concept and it application into the public sector. In the following chapters, it will however become clear that the performance management systems utilised by the private sector cannot be used as a blueprint for use within the public sector.

5. PERFORMANCE MANAGEMENT IN GOVERNMENT

A concern for better performance of a government that is competitive with the private sector and with other governments, has resulted in an extensive search for systemic incentives for improved performance. To be successful, these incentives need to stimulate and enhance economy, efficiency, effectiveness and service quality, or more simply put, enhance governmental performance (Joubert & Noah, 2000: 18). This can, however, never entail the loss or possible tarnishing of the principles of transparency and democracy that underlie the very foundation of the democratic state. Thus, performance management has become a key element in the reform programmes of many Western countries (Rogers, 1999: 20). Furthermore, a cost consciousness and results-orientation have become key criteria of these reforms (Hassen, 1999: 37). This growing phenomenon can be seen in the widespread influence and support for the work by the authors Osborne and Gaebler (1992), *Rediscovering Government* and Osborne and Plastrik (1998), *Banishing Bureaucracy*.

Most countries are currently faced with growing ideological and technical discussions on the legitimacy of government in society. Democratic deficits appeared, or are becoming more apparent, and gaps between the state and its citizens are becoming more and more obvious to both politicians and the public in general (Osborne & Plastrik, 1998: 3). Service delivery by the public sector has therefore become a key issue in reconstructing this lost legitimacy of the government.

In an attempt to better understand the implications of this discussion on the development of performance management within government, it is necessary to take a look at Beetham's (1991) four elements of legitimate governance as a possible framework from which to start:
- Firstly, the question of *legality* should be considered. This entails a correspondence between decisions and rules according to the principle of the rule of law.
- Secondly, there is the question of *legitimacy of law*, requiring that the legislative and legal power as well as the laws and regulations themselves be legitimate.

- Thirdly, there is the issue of the *legitimate use of power*, entailing that the state and its use of power are oriented toward the general public interest.

- Fourthly, government must have *approval by the citizens.*

The orientation towards the general public's interest, as portrayed in the third point, is a conspicuous issue in the current discussions about performance management and its place within government. The concept is of special interest when viewed in the context of policy management and service delivery by government and its organisations (Hassen, 1999: 37). Principles such as economy, efficiency, effectiveness and quality are being increasingly accepted as essential factors in supporting the legitimacy of government, and thereby representing the principle of the general public's interest (Pollitt, 1993)(See also OECD, 1997 as well as Osborne & Gaebler, 1992). The pursuit of these lofty goals resulted in the development of a broad strategy of performance governance.

5.1. Performance Governance

The principles of performance management form the major thrust in this drive for performance governance. Three major issues need to be addressed in this drive for a comprehensive performance governance strategy (Osborne & Plastrik, 1998: 43):

- Government's share in society should be determined.
- The role of government in society should be clarified.
- The government must determine how it will go about attaining or ensuring the appropriate levels of performance.

The most prominent and influential theories of the day dictate that a modern state should be a modest state. Indeed, there is a general trend towards reducing the government's share of social resources (Osborne & Gaebler, 1992: 127). This has contributed to a greater focus on governmental savings, via greater efficiency, budget-cuts, and hiving-off of activities, along with active or passive privatisation of state assets and activities (Pollitt, 1993: 84). This is coupled with a trend towards seeing government's role as less comprehensive in controlling society, which is in contrast with the general trend in the past. Government is therefore seen as only one actor amongst others, and not necessarily

above the other actors (Rhodes, 1997: 186). This network approach towards governance replaces the rigid hierarchical structures of the past and promotes greater interaction. In this new climate, partnerships are becoming more important and prevalent: public/public, public/private, and public/non-profit. New actors have therefore entered the arena of governance. The customers of public services are therefore no longer ignored, but actively involved in processes of standard setting, decision-making and assessment of the public services (Pollitt, 1993: 77).

It should be quite clear that changes in the share and position of government have direct implications for the functioning of government. The presence of new actors, new roles and new interactions require new internal rules, criteria and structures to accommodate these changes. The classical hierarchical structure of government does not lend itself to the accommodation of rapid change. The classical functioning of government is unable to keep pace with a fast-changing environment (Pollitt, 1993: 117). The governability of complex, dynamic and diverse processes require new capacities - capacities that cannot be offered by traditionally administrative and bureaucratic government structures and methods of operating. This creates a situation in which there is a need for synergy of the steering capacity of different autonomous interacting actors (Osborne & Plastrik, 1998: 179). The use of networks and enhanced self-steering should guarantee the improved level of governance capacity. A situation is therefore created in which the broader concept of governance becomes a necessary framework and condition for public management, which should ultimately support the legitimacy of government itself (Rhodes, 1997: 189).

5.2. The Objectives of Performance Management in Government

The desire for a functional performance management system flows from three distinct yet related objectives. The urgent need for improvement in internal functioning, results in an objective of continuous improvement in performance (Osborne & Plastrik, 1998: 111). In order to improve its operations and service delivery capability, the government will need to review the structures, functioning and interactions of institutions in a manner that allows for ongoing adjustments and improvements. This requires greater flexibility,

whether in the areas of management tools, or in terms of internal mechanisms and strategies to enhance accountability and control. The second objective is to find new ways in which to interact with partners in the societal network, which results in an objective to improve mechanisms to distribute and clarify responsibilities and control. This objective is heightened where relationships are less hierarchical and involve new actors and, as a consequence, requires new strategies to enhance accountability, especially external accountability (Rogers, 1999: 21). The need for fiscal restraint results in an objective to realise savings by shrinking activities and budgets and increasing efficiency gains (OECD, 1997: 15).

5.3. Institutional Rearrangement for Performance Governance

A concern for better performance results in a search for systemic incentives for improving performance. This means putting internal pressure on managers and external pressure on organisations through market-oriented systems. Creating such an incentive system implies a shift in the performance management framework from administration to management, and from bureaucracies to markets (Sorabji, 2000: 32).

This shift towards a management model predicated on an internal culture of making managers manage, as opposed to the administrator model which values compliance to pre-set rules and regulations. The aim of this shift in thinking from administering to managing, is in order to ensure the empowerment of managers, requiring them to take responsibility, providing them with degrees of operational freedom, and ensuring accountability (Rhodes, 1997: 193). By referring to the market model, the researcher is referring to a shift from the monopoly-provider based public sector operating in the bureaucratic model, towards a more market-type mechanism. The aim is to have public managers manage on terms similar, but not the same as, their private sector counterparts (Pollitt, 1993: 44). To promote a performance orientation, the system is subject to market disciplines such as competitive tendering and contracting out, cost recovery and accrual accounting. This shift entails that traditional administrator dominated bureaucracies are being replaced by manager dominated organisations with certain market-like characteristics.

This combination, of more market orientation (external) incentives and management (internal) incentives triggers new choices about two important considerations within performance governance. Firstly, options surrounding the size and hierarchy of the organisation should be taken into reconsideration. Questions arise about possible centralisation and decentralisation, as well as around devolution and subsidiarity. In centralised approaches there would still be an organisational hierarchy (functional or line) between the centre and the periphery (Osborne & Plastrik, 1998: 24). At the most there is detailed control over resources (finance and personnel) and policy implementation arrangements. At the minimum there is still some control over financial and personnel decisions. On the other hand, decentralisation, devolution or subsidiarity involves considerable autonomy in resources and policy implementation. In the decentralised system there is also a preference for organisations carrying out homogeneous sets of activities and thus preference for smaller organisations (Rhodes, 1997: 197). Secondly, the links between policies and policy components of programmes should be investigated. Central government has to decide whether to consolidate or decouple clusters of policies and policy components (preparation, decision, implementation, and evaluation) (Rogers, 1999: 1). The degree of policy co-ordination should also be taken into consideration. Under a consolidating approach, there is an effort to integrate programmes at the level of policy development, implementation and evaluation. On the other hand, in decoupling and disconnecting policy activities this desire for integration is almost absent. At most there is an attempt to integrate some of the policy-making and some of the evaluation (OECD, 1997) (See also Pollitt, 1993: 147). This author, however, believes that it is more wishful thinking than reality, mostly because power relationships hinder co-operation.

5.4. Approaches to Implement Performance Management Innovations

The implementation of performance management innovations, may be either top-down, or bottom-up, comprehensive or incremental, *de facto* (relying on existing legislation) or *de jure* (involving new legislation).

A discussion of top-down versus bottom-up implementation may involve a possible trade-off between legitimacy and effectiveness of performance management. It is easier to use a top-down approach if the goal is to affect large parts of the budget. Top-down experiments allow for an *ad-hoc* start, which can then be broadened and deepened to cover all organisations. It also allows for an easier manner in which to standardise elements of performance management. A central top-down approach also provides a ready mechanism for measures to be enforced. The costs of a top-down approach may, however, reduce the legitimacy of the reforms (OECD, 1997: 59). Alternatively, the bottom-up approach requires more effort to co-ordinate and develop some level of commonality of approach and implementation. The advantage may be that the support for reforms may be higher among departments and agencies. This "ground-level" support may increase the likelihood of effective implementation (Williams, 1998: 164). Consultations with staff and co-determination can be used as an integral technique to establish and extend the credibility and legitimacy of the performance management measurement system (Spangenberg, 1998) (See also Boase, 1997: 47). Those who use a top-down approach towards performance management are more likely to focus on technical validity, reliability and homogeneity, as well as to enforce implementation from above.

Another variable in implementing reforms is whether they are based on clusters of *de facto* initiatives supported by existing legislation, or by sets of new legislation supporting future activities (Rogers, 1999: 37). The clustering of converging initiatives under one label helps to combine energy and efforts for change with political support and marketing of the changes (OECD, 1997). This is important because the more ambitious the change and the greater the number of departments that are involved, the greater is the need to present this change as an explicit programme to provide momentum, maintain cohesion to core objectives and to minimise opposition (internal and external) to effects on individual programmes or departments.

5.5. Types of Performance Management

If we assume that the three major objectives of performance management, as discussed earlier (i.e. management and improvement, accountability and control, and budgetary savings), determine significant aspects of the modernisation process and influence the choices for implementation of the performance management policy, these three objectives may create different typologies of performance management (OECD, 1997: 179). The three objectives are present in different political and state systems, but in different degrees of intensity. Moreover, the relative intensity will change over time according to political priorities or external influences such as an economic crisis or serious budget deficit (Guile & Fonda, 1998: 71). Performance management based on these objectives assumes a logical implementation. This entails that the method of implementation will tend more toward one objective than to the others. The researcher will subsequently be looking at three of the most important typologies.

Firstly, *a performance management system, emphasising the management and improvement objectives,* is one of these typologies. An explicit strategy of improvement determines the choice of methods, techniques and approaches to be used within a performance management system (Venter, 1998). This tends to be based on the following elements (OECD, 1997) (See also Osborne & Gaebler, 1993: 199):

- The pressure for competition will ensure a greater emphasis on the usage of market testing, contestability and benchmarking.
- Information systems will need to be complex to fit the different internal needs, down to a very detailed level. The focus will be on corporate plans and strategic planning. To the extent that there are strategic elements at stake, or there is a competitive environment, much of the performance information may remain confidential, with only certain summaries made available for external purposes.
- Performance budgeting will focus on outputs and/or outcomes to stimulate result-orientation.
- Performance accounting will focus on increasing the awareness of costs.

- Performance audits will first be organised as self-evaluations within a strategy of self-improvement.

- The incentive system should be constructed to stimulate and motivate improvement, including allowing a percentage of gains (of economy, efficiency or effectiveness) to be retained, performance pay, and flexibility (in allocation of resources, procedures and structural arrangements).

- A bottom-up approach, based on volunteering, will be used and may be complemented by some top-down guidance. Many initiatives will be *ad hoc.*

A second typology of importance is one in which *performance management emphasises the accountability and control objectives.* In this perspective, the central emphasis is somewhat different. The emphasis will be on a different range of key methods and techniques (OECD, 1997) (See also Osborne & Plastrik, 1998: 94).

- There will be a need to make, monitor, control, and evaluate performance agreements. Therefore contracts will be a suitable tool in order to organise mechanisms of accountability and control.

- Simple and transparent performance information systems will feed information into contracts and their accountability and control functions.

- Performance indicators will be publicly available and become part of a general dialogue.

- There is a focus on audit, with special attention given to the audit of data and performance information. Internal and external audits, and their relationship, are important for the upgrading of accountability and control procedures.

- Only when accountability and control mechanisms are determined is there a possibility to consider incentives such as sharing in budgetary gains, performance pay and increased flexibility.

- A top-bottom approach will be advisable since it is important that basic mechanisms are covered by general arrangements. A legal framework allows a mandatory and comprehensive approach.

The third typology, which will be briefly looked at, is where *performance management emphasises the savings objective*. Once again the central precepts are different, requiring a different set of strategic elements (Osborne & Gaebler, 1993: 53).

- The major difference is the focus on the input side of operations.
- Performance information will be an annex more than a key element in the budget process.
- Information systems will focus on the expense and cost elements.
- Market testing will be used to look for the cheapest, but not necessarily the best, solutions.
- Only a small percentage of the gain will be returned to those who realised the savings.
- The approach should be top-down, mandatory and systematic, because those parties concerned do not spontaneously propose savings.

The question arises whether these three types of performance management are at all compatible. Since the objectives are complementary and mutually reinforcing, the methods, techniques, and approaches should be complementary and mutually reinforcing as well. Yet, the savings type probably will not be taken up voluntarily. Therefore, a bottom-up approach will not be of much use in that case. This argument is reinforced by the perception that a bottom-up approach is not fully effective in achieving significant budgetary reductions.

5.6. The South African Policy Context

The need to improve the quantity and quality of public service provision in South Africa, whilst at the same time moving towards a leaner, right-sized and more cost-effective service, places a premium on productivity and performance. These issues have been discussed at some length in recent policy documents from the Department of Public Service Administration (DPSA). The *Green Paper on Policy Proposals for a New Public Service Statute* (1996) describes the urgent need for new and more effective forms of performance management to be used within the South African public sector. The *White Paper on Public Service Training and Education* (1997) and the *White Paper on a New*

Employment Policy for the Public Service (1997) call for systems of performance management to be dynamically linked to more effective systems of performance development thereby fulfilling the unique need for training and capacity building existing within South African society.

The central themes of the government's new policy towards performance management, as outlined in the *Green Paper on Policy Proposals for a New Public Service Statute* (paragraphs 2.6 and 2.7) are as follows:

- "Replacing the excessive centralism of the current system of public administration with an approach that permits maximum departmental autonomy and managerial responsibility within a coherent national public service." This would create a performance management system imbued with greater flexibility and therefore the ability to answer the very specific needs of individual departments and organisations. These "tailor-made" performance management instruments would then function within overarching, broad guidelines from central government.

- "Replacing a rule-bound culture of work with one that is goal-orientated and promotes efficiency, development and the effective delivery of services." This goal-orientated approach signifies a commitment by the public sector to move away from a input-driven process to a outcome-orientated process.

- "The creation of a systematic approach to accountability in which indicators are developed for measuring, monitoring and evaluating the quality of performance of institutions and employees."

These new decentralised systems and processes of performance management, as described in the above-mentioned documentation will be based on accountability for specific, measurable outputs within defined time frames, and will also be incentive-linked, specifically to remuneration and promotion (Department of Public Service Administration, 1996: 5). This involves an important shift in the focus of management processes from how something is done (structures and processes) to what is achieved (outcomes). This shift, from a rules-based to a results-based system is an important and fundamental change in the functioning of the public sector. This will create an enabling

process in which predefined objectives are specified in a mutually agreed performance contract between manager and employee (Department of Public Service Administration, 1997a: 12). This new system will be supplemented by a more general stress on the need for work to be mission-driven and on the importance of staff development, training processes and capacity building.

5.7. Possible Lessons for the Future

The choice of a possible performance management strategy is generally considered to be a positive element in a modernisation process. In countries that have, explicitly or implicitly, evaluated the performance management reforms it has been found that efficiency, cost awareness and effectiveness are said to have improved (OECD, 1997: 11). Enhanced clarity about responsibilities of the political, the ministerial and departmental and organisational levels, as well as the related transparency about accountability are also considered to be an advantage (Sorabji, 2000: 60) (See also, Department of Public Service Administration, 1997b: 7).

Despite the many benefits, there remain problems of setting priorities and devising incentives. Managerial flexibility, decentralisation and devolution are considered to improve efficiency and effectiveness. Yet, the decoupling of policy from service delivery should not lead to ignoring the relationship between policies and organisations (Rhodes, 1997) (See also, Department of Public Service Administration, 1997a: 9). Elements of competition and contracts also improve performance (Pollitt, 1993: 24). In addition, many countries admit the difficulty in developing good performance information systems.

New developments in performance management strategies relate to correcting and adjusting previous choices (Williams, 1998: 17). Existing performance management projects and practices are being expanded across government activities including being exported across levels of government, and to a wider budgetary range. Self-evaluation seems to be another key element, which will enhance knowledge, ownership and the practice of performance management itself (Hume, 1995: 33). Supporting methods such

as contracts and benchmarking will be expanded to increase performance. Finally, it should be accepted that the general practice of performance management itself should be continuously re-evaluated.

In conclusion, in developing a strategy for performance management, the many issues and approaches, questions and concerns, distil down to several key principles which need to be addressed in full, according to the researcher, in order to guarantee success (OECD, 1997):

- It takes time to develop good performance measures.
- Countries must define objectives and develop practices that correspond to the objectives.
- Basic approaches to implementing performance management must be selected according to the needs and situations of each country.
- Performance management must make a difference and "account for something".

This chapter demonstrates how performance management can be utilised in addressing the particular and unique needs of the public sector, without compromising the public sector principle of service delivery. The policy documents discussed in this chapter reiterates this important fact. This can be illustrated in studying a specific segment of the public sector, namely the educational sector and documenting the specific importance of performance management in this particular sector.

6. PERFORMANCE MANAGEMENT IN THE EDUCATION SECTOR

All managers live in a practical world. They are valued for the good things that they achieve and are criticised, rightly, for what they may fail to achieve. They work in a world characterised by turbulent flux in economic conditions, of continuing shifts in social policies, of unpredictable directions of moral and cultural patterns, in short a world of change. While educational managers may readily acknowledge this as a fact of life, it is not to deny that vital educational principles are at stake in their work (Harrison, 1996: 8). Leaders within the educational sector therefore need to be wise in many ways – social, psychological, historical, theoretical, professional, political and ethical, as well as being "streetwise" – if change in education is to be achieved with integrity and coherence.

In order to identify "what" must be done in any given educational sector, and then to decide "how" achieving valued things must be done, the researcher maintains that managers need to examine regularly the "why" of their actions. It is therefore necessary to focus on the specific goals that need to be achieved by educational managers (Department of Education, 2000: 2). These specific goals need to be in line with the South African governments' renewed focus on efficiency and effectiveness, the provision of quality services and performance management (Department of Public Service Administration, 1996: 3). These concerns of the South African government therefore need to be incorporated into the major management tasks for the education department in this new century. It is therefore necessary for the education department to set up a sensible and disciplined framework to monitor quality.

6.1. A Pressure Situation

The educational sector within developing countries is however also under huge pressure that is largely due to stipulations of the International Monetary Fund (IMF) and the World Bank. In order for developing countries to secure loans from these international financial institutions, they have to agree to stringent structural adjustment programs, which deliberately cut back on state funding for health, welfare and educational provision (Harber & Davies, 1997: 13). Along with these external pressures, all developing

countries are also faced with internal budgetary constraints. Difficult decisions therefore have to be made concerning the spending of very limited resources, often to the detriment of education. This is done in spite of the quite obvious need to improve the provision of education in developing countries. These factors have therefore led to a premium being placed on the principles of efficiency, effectiveness, quality and performance in education specifically, and in all other governmental sectors generally (West-Burnham, 1996: 111).

In some aspects South Africa have moved beyond many of the problems typically associated with educational sectors within developing countries. This does not, however, exempt South Africa from all of the problems faced in education in developing countries. Although education is one of the present government's main focus areas, the department of education is still faced with significant budgetary constraints as previously mentioned. This quite clearly impacts on a downward trend directly on the functioning of schools. The maintenance of school buildings is often the first to suffer in this context of budgetary cuts (Harber & Davies, 1997: 15). This obviously impacts on the amount of employees that a school can hire for maintenance and related functions, as well as overall levels of morale.

The researcher believes that the manner in which the national education department has structured the organisational form of schools is also problematic. When one looks at the organisational form of schools, it is quite clear that they are bureaucratic in nature. This carries with it the reality that policy deliberation and strategic decision-making of the senior management team are not usually made public. This creates a situation in which the staff who are not part of the senior management team feel excluded from important aspects of decision-making as this is seen as a specialist function carried out by management (Harber & Davies, 1997: 127). The price paid for this can be widespread servility amongst staff and a reluctance to act in autonomous manner or show initiative. This often results in permanent inter-staff hostility and quiet resistance to any management initiative, good or bad (Emerson & Goddard, 1993: 133). Consideration will therefore also have to be given on whether the organisational format of schools are really

serving the current needs of its community or whether it has become outdated and need to be changed.

6.2. Managing Performance

Unless education departments supply a comprehensive framework for the management of performance no educational facility will achieve its full potential. Financial management, resource management, curriculum management and every other form of management all have their respective role, but they pale into insignificance beside the effective management of human resources on both a departmental level and within individual educational facilities.

The South African government and education department has put measures in place in regards to the measurement of both educational facilities and teaching staff's performance.

6.2.1. Whole School Evaluation

The overriding goal of the national department of education is to assure the quality of the education system is of the highest possible value. *The National Policy on Whole-School Evaluation* (2000) is an attempt to introduce an effective monitoring and evaluation process in order to bring this goal into fruition. This policy is therefore considered vital to the improvement of quality and standards of performance in schools. The National Policy on Whole-School Evaluation (2000) prescribes an approach that is built upon interactive and transparent processes that include school self-evaluation, ongoing district-based support, monitoring and development, as well as external evaluations conducted by departmental supervisory units.

A particular emphasis is placed on the need to use objective criteria and performance indicators consistently in the evaluation of schools. Recognising the importance of schools as the place in which the quality of education is ultimately determined; the focus of this policy is primarily on the school as a whole rather than simply on individuals and

their performance. The feedback provided to schools must be used to re-orientate efforts towards improving the quality and standards of individual and collective performance (Department of Education, 2000: 7). This makes the model less punitive and more supportive and developmental in nature, with a feedback mechanism that enables schools and their support structures to agree on improvement targets and developmental plans.

The transformation of education in South Africa emphasises quality education for all (Department of Education, 1995: 2). The first intent is to redress the discriminatory, unbalanced and inequitable distribution of education services of the apartheid regime, and secondly to develop a world-class education system suitable to meet the challenges of the 21st century. According to the National Education Policy Act (Act no.27 of 1996), the Minister is mandated to direct that standards of education provision, delivery and performance in the system be monitored and evaluated by the department annually or at specified intervals, with the object of assessing progress in complying with the provisions of the constitution and with the requirements of the national education policy. This Act also specifies that, should the evaluation reveal problems in complying with the provisions of the constitution, the provincial minister of education in the affected province will have to account to the national minister of education in writing within ninety days. Similarly, the Assessment Policy, gazetted in December 1998, provides for the conducting of systemic evaluation at the key transitional stages, therefore Grade 3, 6 and 9. The main objective is to assess the effectiveness of the entire system and the extent to which the vision and goals of the education system are being achieved. Also, the Further Education and Training (FET) Act (Act no.98 of 1998), makes it obligatory for the Director-General of the National Department of Education, subject to the norms set by the minister of education, in terms of the National Education Policy Act, to assess and report on the quality of education provided in the FET Band. The South African Qualifications Authority (SAQA) Act of 1995, requires that Education and Training Quality Assurance (ETQA) bodies be established for the purpose of monitoring and auditing achievements in terms of national standards and qualifications. In line with the above legal provisions, the Whole School Evaluation policy elaborates on the responsibilities of the national minister of education with regard to the conducting of

whole school monitoring and evaluation as an integral part of the new quality assurance approach that has been introduced (Department of Education, 2000: 7). Within this paradigm shift from 'inspection' to quality assurance, whole school evaluation is used to refer to all those services whose main function is to maintain and control standards, evaluate performance, advise and support schools in their continual efforts to improve their effectiveness (Department of Education, 1995: 6). The focus is on both internal monitoring and external evaluation by means of self-evaluation, and the mentoring and support provided by the district-based support teams, as well as external evaluation by the supervisory units (Department of Education, 2000: 14).

The policy of whole school evaluation is implemented in an attempt to strengthen the provision of district professional support services to schools within South Africa. It is also hoped that it would create a platform of increased accountability and feedback within the educational system, as well as to identify models of good practice in order to bring about continuous quality improvement.

The degree of success of this policy can however not yet be measured as it is only now in the process of implementation. It is however worthy of mention as this is, according to the researcher the first real steps undertaken by the post-apartheid national Department of Education to establish a comprehensive performance management model within the educational sector.

6.2.2. Support Staff Performance

It is however of much concern to the researcher that the performance measurement of support staff within the educational sector is being ignored. The only vague guidelines to be found in this regard are in the Constitution of the Republic of South Africa, act 108 of 1996, the Labour Relations Act, act 27 of 1996 and the National Education Policy Act, act 27 of 1996 (Potgieter, 1997: 20). None of the abovementioned documents, however, refers to concrete measures or guidelines to be used in performance management, but rather makes vague inferences in regards to this issue. The researcher is of the opinion that by exclusively focussing on the performance levels of academic staff, whilst

certainly important, the risk is run that the education department and educational sector can lose sight of the fact the performance of all personnel impact upon the overall performance of organisations. Support personnel in fact contribute towards establishing an environment conductive to teaching and learning. The impact and importance of the support personnel's work performance is therefore quite clear and crucial to the overall levels of performance of educational facilities (West-Burnham, 1996: 111). If the performance levels of support personnel are not up to standard, it has a direct impact upon the performance of both learners and academic staff, which could lead to low morale and therefore ultimately, if unchecked, to deteriorating levels of organisation-wide performance.

Due to the big impact that the work of support personnel can therefore have on the organisational environment it is important to identify measurable performance indicators by which their work can be measured (Burkhalter & Buford, 1993: 2). It is therefore important to study the quality of work done by support personnel; the knowledgeableness of the employee in regards to his/her work; the volume of work done, in other words the level of productivity of the employee; the level of reliability, teamwork, and initiative of the employee; the level of internal and external customer relationships; as well as the leadership skills exhibited by the employee (Emerson & Goddard, 1993: 160). Only by measuring these factors can we be assured of better-maintained facilities, better educational conditions and an overall environment more conductive to learning and teaching (Harber & Davies, 1997: 167).

As was illustrated in this chapter the performance management of support personnel in educational facilities are sadly neglected. This is not a situation peculiar to South Africa, but a global occurrence. In order to address all issues related to the performance of educational facilities and personal as well as professional growth it is however crucial that the performance of support personnel be managed and measured in a scientific, responsible manner. Mikro Primary School realised this need to address the performance of their support personnel.

7. Intricacies in Practice

The most fundamentally difficult part of this masters-research study lies in attempting to mesh performance management with the ideals and principles implicit within public sector management. Whilst the business world's ultimate yardstick is centred within a company's performance within the global market (therefore profit), this cannot be done within government and public sector institutions, and especially not when one is dealing with the question of education.

Profitability might be growing as an influencing factor within the public sector, but it can never eclipse the primary concerns of the public sector. The primary concern of the public sector, and therefore its very nature, will always be tied to the delivery of services and goods for the upliftment and advancement of the people, providing for the needs and wants of its people. When dealing with the researcher's specific focus, an educational facility, this is especially clear. In this equation profitability will always come a distant second. The overarching aim is therefore to improve and speed up service delivery to the public and delivering these services with the greatest amount of efficiency and effectiveness (Joubert & Noah, 2000: 17). Only when dealing with the internal management of public sector institutions can it be afforded to consider the principles of economy, efficiency and effectiveness, this is also where the principles of human resource management and performance management play a pivotal role. This is all the more important for the South African public service, where poverty and inequality leave people completely dependant on the state for many of their needs. The performance of the state and its employees are therefore crucial in redressing the social and economic inequalities in society (Hassen, 1999: 37). If profitability ever becomes the primary concern, the public sector will cease being the public sector.

Management plans, that incorporate service delivery improvement plans that focus on accessibility and quality of services, are set to become a required task of all governmental departments and institutions within South Africa. In terms of the Public Service Regulations of 1999, departments will have the latitude to prepare strategic plans, new

organisational structures, appoint staff, effect training and introduce performance management systems based on service delivery requirements and affordability (Joubert & Noah, 2000: 18). These initiatives are commendable and evidence of the government's commitment to change. This greater freedom, will invariably speed up delivery processes, lower resource costs and lead to better utilisation of human resources.

By the very nature of the public sector, it necessitates an approach to performance management that focuses on partnership and dialogue, the open and honest exchange of information (feedback), and sharing the process to the mutual benefit of both parties (employer and employee) (Department of Public Service Administration, 1996: 5). In the perspective of South Africa's own volatile and adversarial labour relations history, this is of particular importance. This was also very much in evidence in the particular educational facility studied by the researcher, where the relations between support personnel and management were still greatly adversarial. The design and implementation of a performance management system built on the principles of participation and dialogue is the only manner in which headway can be made in addressing the adversarial nature of these relations (Department of Public Service Administration, 1997a: 17).

7.1. Mikro Primary School

Mikro Primary School is situated in Kuilsriver, in the Western Cape and provides primary educational services mainly to those persons within the Oostenberg administration of the Cape Unicity. It is an Afrikaans-medium school and accommodates around 400 scholars. An organogram of the school's organisational structure can be found in Addendum E.

The researcher's documentation of the situation at Mikro Primary School was gleaned over a period of four months by observation, interviews and discussions with experts. As is the case with most educational facilities in South Africa, resources are limited and as such, the school has been forced to rationalise in terms of teaching and non-teaching staff. The researcher believes that this puts an even greater emphasis and importance on the level of performance of the remaining employees, in order to maintain high levels of

service. The current situation therefore puts even greater importance on the design and implementation of a comprehensive performance management system. As national policy dictates terms for the management and evaluation of performance of both the school, as an organisation, as well as all teaching staff, a vacuum is left in terms of the performance of all non-teaching employees.

This lack of attention to the performance of administrative and support personnel was evident in the system in place at Mikro Primary School with the researcher's arrival. The performance of administrative and support personnel at this facility was being evaluated on a very informal, archaic and mostly verbal basis. The researcher perceived the performance evaluation process as a mostly one-sided affair, with the reviewer evaluating the performance of the reviewee on a yearly basis. No written records were kept on the progress and performance of the reviewee during the year. Furthermore, it was quite clear to the researcher that the performance evaluation was mostly based on critical incidents. Therefore, a situation has arisen in which whatever events from the recent past stood out in the mind of the reviewer were used as the basis for evaluation. It is the researcher's contention that this contributed towards an atmosphere of hostility between especially the maintenance personnel and their supervisor.

During the interview sessions and questionnaires, it also became quite clear to the researcher that the support personnel were of the opinion that the performance process followed by the educational facility was autocratic and top-down in nature. This was especially clear in the group-interviews held with the maintenance personnel employed by the school. This caused growing antagonism between the support personnel and the management of the institution, which, according to the researcher, led to a further deterioration in the work performance of the particular personnel. The researcher furthermore believes that the archaic nature of the performance measures were also woefully inadequate to deal with the complexities of the modern working environment.

During the interviewing process the maintenance personnel expressed general discontent with their working conditions. In an interview with the maintenance personnel's

supervisor he expressed great distrust in their ability to fulfil their tasks. The degree of animosity between these employees and their supervisor was illustrated quite clearly by the reluctance of the employees to take part in the interviewing process without the explicit assurance from the researcher that the particulars of the interviews and their individual contributions be kept secret from the supervisor. In contrast, the information co-ordinator and secretary expressed great satisfaction with their present working conditions during individual interviewing processes. It should however be noted that the information co-ordinator and secretary report directly to the principal of the school.

In taking all of the above factors into consideration the author subsequently set about the task of designing a performance measurement instrument to fulfil the specific needs of a particular educational facility. A further challenge was to design this instrument to be as user-friendly as possible. The performance instrument was subsequently designed to fulfil the performance needs of administrative and support personnel of educational facilities. The final product is quite closely aligned to the doctrine followed in 360 degrees feedback instruments and therefore built upon very specific principles:

Firstly, it is important that the performance management instrument is geared towards a results orientation. The employee's performance should be assessed on the basis of a work plan covering a specified period, setting out clearly his or her responsibilities and the objectives to be achieved (Ward, 1997: 55). These objectives should be expressed in terms of outputs to be delivered within a given timescale, and should include personal development as well as operational objectives. The work plan should be mutually agreed between the employee and his or her manager. The assessment process should include both a written assessment completed at no less than yearly intervals, and regular discussions during this period to monitor progress and take remedial action where necessary (Armstrong & Baron, 1999: 313).

Secondly, in line with the specific needs of South African society, the instrument needs to enable training and development. The performance assessment process will help to identify the employee's strengths and weaknesses, and the interventions which are

needed to deal with these, including the employee's future training and needs, and other developmental interventions such as career counselling, coaching and mentoring (Ward, 1997: 203).

Thirdly, it is the researcher's contention that good performance needs to be rewarded. It is important to recognise and reward employees who perform exceptionally well, and whose skills are particularly valued, in order to encourage them to maintain the high standard they have achieved, and to encourage others to strive for improved performance. The most obvious way of achieving this is by awarding incremental increases in pay (London & Beatty, 1993: 367). The development of new remuneration systems within the Public Service will include provision for systematic pay increments based on performance.

Fourthly, poor performance needs to be managed. Where performance has not matched the requirements in the work plan, the assessment, both written and verbal, should be focused on identifying the reasons for this, and on reaching mutual agreement on the steps which need to be taken to effect improvement. Such steps may include interventions such as career counselling, coaching, retraining, developmental opportunities and re-deployment (Venter, 1998: 44). If the desired improvement could not be effected, dismissals on grounds of inefficiency can be considered.

Fifthly, the principles of openness, fairness and objectivity need to be adhered to (Hassan, 1999: 36). The employee should be given a copy of the written assessment, and be given the opportunity to comment on it. The employee has the right to appeal against an assessment that he or she believes to be unfair. His or her own immediate manager should review the reporting manager's written assessment, in order to ensure that reporting standards are objective and uniform.

All of the above-mentioned principles were taken into consideration in the design of a performance management instrument for Mikro Primary School. By adhering to these principles in the design of the performance management instrument, the researcher can ensure that a developmental and participatory approach is followed in the performance management process.

7.2. The Van Nieuwenhuyzen – Hybrid Performance Management Instrument

The researcher decided on this name for his instrument, due to the fact that the instrument combines aspects, disciplines and elements from different appraisal techniques in order to establish an instrument with truly objective, reliable and equitable properties. It is furthermore firmly entrenched in the 360-degree feedback paradigm. The instrument furthermore operates within certain specific parameters:

- The performance management instrument must be completed by both the employee (reviewee) and his/her reviewer.

- The reviewee must receive a copy of the performance instrument, at least 48 hours before the actual performance interview. This enables the reviewee to prepare himself/herself for the actual interview, as well as to fill in the form. In the eventuality that the reviewee is illiterate, the reviewer has to go through the form with the reviewee, at least 48 hours before the interview. This ensures that the illiterate reviewee also has ample opportunity to prepare himself/herself for the actual interview.

- The reviewer has to take the reviewee's performance over the whole of the performance period into consideration, and not just the reviewee's most recent achievements. The reviewer therefore has to make careful notes of the reviewee's performance over the whole of the performance period. This information must then be used during the performance meeting.

During the actual performance meeting the forms filled in by the reviewee and reviewer, as well as their contents will be discussed. The researcher will subsequently explain the different sections into which the performance management instrument has been divided.

The first section of the performance instrument focuses on the objectives set for the specified performance period under consideration. The objectives under discussion are the objectives identified by the reviewee and reviewer at the previous performance meeting. These objectives have to be filled into the first column (entitled: Objectives agreed upon for…). The column entitled Results (Description) entails that both the

reviewee and reviewer have to document and explain to what degree the reviewee has accomplished or failed to accomplish the specified objectives. The column entitled Results as Percentage connotes that the reviewee's degree of objective accomplishment must be quantified as a percentage. For example, if the reviewee fulfilled the objective but did not finish in the specific time constraints, the reviewee would, for example, get 66%. The last column, entitled Valuation, contains three statements. The reviewee and reviewer have to decide on which statement is the most applicable on the reviewee's performance of the specific objective.

The second section of the performance instrument, the instrument deals with specific performance factors, which will also be used to measure the performance of the reviewee during the performance period in question. The columns entitled Results (Description), Results as Percentage as well as Valuation are used in the same manner as in the previous discussion. After the completion of the performance factors, an average percentage and average valuation is calculated, based on the previous information and discussion surrounding it.

In terms of the overall performance management process it is necessary to explain the valuation that was done in the first two sections (which form the quantitative component) of the instrument. Any additional commentary or remarks that were not addressed in the discussion surrounding these sections, that might influence the performance of the reviewee, should be discussed in the overall performance measurement module. This is of importance seeing as it could impact on the reviewee's overall performance. For example, if the reviewee could not fulfil all of the performance requirements, seeing as he/she had been sick for a period of two months.

Subsequently, using a 9-point scale, the reviewee must rate his/her current level of work satisfaction, under the heading "Current level of work satisfaction". After discussion, the reviewer must write commentary in order to explain the rating given by the reviewee. For example, the employee has rated his/her level of work satisfaction as 4, because he/she is unhappy with the supervisor's attitude towards him/her.

In the context of South Africa, the researcher sees it as of the utmost of importance that any performance management system deals with the reviewee's developmental needs. Therefore, the reviewee is expected to comment on how he/she would like to see their job or career develop within the organisation. It is also expected of the reviewee to attach a time-based framework to this development framework. For example, the reviewee would like to be promoted to administrative officer in the next month, or take on more responsibilities within his/her existing job. Furthermore, it is also necessary that the reviewer identify certain developmental or training courses, which would benefit the reviewee in his/her specific position. The reviewer should also identify any elements that could benefit the reviewee in executing his/her job.

An intricate part of the researcher's measurement instrument is the formulation of objectives and goals for the next evaluation period. In this section it is necessary that the reviewee and reviewer decide, together, on the reviewee's goals for the next performance period. The researcher wishes to stress the fact that a process of collaboration between the reviewee and the reviewer should formulate these performance goals.

In the final section of the performance management instrument, both the reviewee and reviewer have to sign the document. This is to show that both parties commit themselves to the performance process and the accomplishment of all facets outlined within it. Any additional information could also be added as remarks.

8. Evaluation and Recommendations

The researcher negotiated unchartered waters in this research study. This research study is an attempt to look at performance measures that have been taken by government and its state institutions and organisations. The researcher tried to demonstrate present performance measures in place by looking at performance management within government and the state on a more micro level. This was done by focussing on the performance measures in place within a typical educational facility, Mikro Primary School.

Whereas performance measures for academic personnel might be relatively developed in nature, very few studies have been done regarding performance management of administrative and support personnel in educational facilities. Much of the available research material deals with the performance of academic staff within educational facilities. Performance measures for administrative and support personnel within educational facilities have been sadly neglected. This has created an inherent imbalance in the performance management systems within educational facilities that cause distortions through the whole general management and specific human resource management within these institutions. This tendency is lent impetus by a global focus on improving the standards of performance within educational facilities by focussing on the overall performance of the facility and the performance of the academic personnel. This is also an emergent trend of the educational policy focus within the South African context. Although understandable, it would be detrimental to neglect the performance role and contribution of supportive personnel within educational facilities as these personnel make an important contribution towards the environment in which they work and the overall performance of educational facilities. By ignoring the very important role played by administrative and support personnel, an educational facility sets itself on a course for self-destruction, as administrative and support personnel contribute towards creating an environment conductive to learning and teaching. It is therefore of utmost importance that the organisation be aware of the contribution made by these employees and take active steps in measuring their performance.

The problems inherent in this process are very clear. As has already been made clear in this assignment any performance system has to embody the principles of economy, efficiency, effectiveness and quality. The measures undertaken by this particular educational facility was therefore woefully inadequate. The researcher is, however, certain that the particular educational facility is not an isolated case, but rather the norm. Drastic action is therefore needed to ensure that this matter is addressed properly. The researcher believes that without a comprehensive and scientific performance management system the principles of economy, efficiency, effectiveness and quality will remain illusive. Educational facilities, on a micro level, the department of education on a meso level and government on a macro level will need to design performance measurement instruments that meet the needs of all their employees and the organisation as such.

The archaic nature of the performance management system in place at Mikro Primary School, as well as the dissatisfaction and antagonism this has caused has already been discussed in detail in the foregoing pages. The researcher attempted to combat these trends, by making the design process of the performance management instrument as inclusive as possible - the employees that the instrument would impact upon were therefore asked to give input in the design of the instrument. The result is a performance measurement instrument that advocates a participatory performance management process. A process characterised by the active participation of the reviewee and the reviewer in the performance measurement model. By allowing the employee access to the measurement instrument in advance, the employee is able to prepare himself/herself for the performance interview, and therefore better able to make a valuable contribution to the process. By promoting dialogue in the performance measurement process the researcher also attempted to close the gap between the management and the support personnel of the facility. The 360-degree feedback system also proved very appropriate for this specific situation. The principle of participation should however not be left only within the realm of performance measurement. In order to foster better working conditions and relations, the administrative and support personnel should be allowed representation within the school governing structure. This will allow a greater

understanding amongst the affected employees regarding decisions that are made and will also make them feel part of the decision-making process where it impacts on them personally and on their work.

The researcher would, furthermore strongly recommend that the following issues are given attention by the particular educational facility, namely

- *Job enlargement*. The researcher would recommend that the support personnel's areas of responsibility in terms of their specific jobs be expanded. This will help build personal and professional confidence. Personnel should also be allowed the necessary freedom to be more innovative and take their own initiative as well.

- *Development opportunities*. The researcher identified a strong need for development opportunities amongst the support personnel at this particular educational facility. Where South Africa is still faced with high levels of illiteracy, the researcher would like to recommend that the educational facility institute a literacy programme addressing the specific needs of their maintenance personnel. The researcher would also recommend the implementation of a system of job enrichment.

- *Career development*. By utilising job enlargement the researcher believes that the educational facility can embark on the first rudimentary steps towards career development. The researcher believes that this will create an enabling environment in which the support personnel can develop new skills.

- *Promotion opportunities*. At the present time very few opportunities exist for the promotion of support personnel. The researcher does however believe that if the situation presents itself in the future, this will be a excellent performance motivational tool.

- *Remuneration opportunities*. Although a fair amount of controversy exists surrounding performance-related remuneration, the researcher believes that when dealing with positions that allow very little room for advancement, performance-related remuneration and other benefit systems might be the only means of motivation.

- *Timing.* At the present, performance evaluation for the support personnel only takes place once a year. The researcher would recommend that (although performance management is a continuous process) performance evaluation takes place bi-annually. This is recommended as the Van Nieuwenhuyzen – Hybrid Performance Management Model is a radical departure from the informal system previously applied at the educational facility. It would enhance employee's understanding of the new performance management model if it were utilised more often. A bi-annual evaluation process, according to the researcher, would also enhance the accuracy of the actual performance management process.

- *Motivation and trust.* The performance indicators used within the performance management instrument has to be the result of mutual discussion and consensus between the reviewer and reviewee. The researcher believes that if this recommendation were to be ignored, the existing antagonistic working relationship between especially the maintenance personnel and their supervisor would continue and worsen. This trend can only be addressed by the rebuilding of trust between employee and supervisor, as well as by utilising motivational techniques.

Although it is quite clear that Mikro Primary School is facing a lot of challenges in terms of their employee – management relationships, the very fact that the first steps have been taken (in terms of the design and implementation of a participatory performance management instrument) is encouraging.

9. CONCLUSION

The importance of performance management lies in its very nature and ability to adapt to the specific needs and wants of any environment. As the world around us changes at an ever-increasing pace, we are forced to change and keep pace with it, or forever be left behind. In order to remain competitive in this world order, it therefore becomes necessary for us to anticipate change, to be revolutionary in our thoughts and actions. An effective performance management system will form an essential component of our armament, in our quest to ride the crest of this wave of change, transformation and renewal.

The foregoing pages were an attempt to demonstrate the importance of performance management and the correct usage thereof. Although performance management may look like an extremely intricate and involved process, it is of cardinal importance that all employers and employees are aware of and actively participate in performance management. A basic knowledge of performance management by all is required in order to ensure that the organisation reaps the positive results that performance management can offer. Performance management can be the catapult to launch us to the pinnacle of success, or not.

The same holds true for the public sector. The public sector, globally, are under a lot of stress to become smaller yet more responsive to the needs of its citizenry. Effectiveness and efficiency is therefore playing a bigger role than ever before. In order for the public sector to meet the growing demands of society it therefore need to focus more on its human capacity and its utilisation through more comprehensive human resource management. This renewed focus on human resource management demands a higher level of performance. The only way this demand for greater performance can be met is through a more comprehensive performance management system that meets the needs of each individual employee and institution.

It is important to remember that every specific segment of the public sector has its own specific needs. Therefore it is impossible to impose one generic performance

management model on the whole of the public sector. Therefore in order to address the specific needs of every sector within the public sphere a tailor-made performance management process is needed. This research study documented the specific needs of the educational sector. The researcher has shown what steps have been taken in order to address performance questions within the educational sector. What is even more important though, is that the researcher has shown that there is still one important component missing, namely the management and measuring of the performance of support personnel within the educational sector.

The impact of this omission can be clearly seen in the case of Mikro Primary School, where the hostility and antagonism between supervisor and employees can at least partly be attributed to a lack of a comprehensive, developmental performance management process. Performance of the individual and ultimately Mikro Primary School can only be improved if a participative process of performance management is followed. By addressing these performance issues within the educational facility both the performance of the organization and the individual contribute towards the attainment of the needs of the community that Mikro Primary School represents. The Van Nieuwenhuyzen – Hybrid Performance Management Model addresses the specific needs and issues identified at Mikro Primary School. The participative, developmental nature of the model ensures an enabling, empowering and growth experience for both the reviewee, reviewer and organisation.

The performance management experience of Mikro Primary School should be both a warning and an example to other educational facilities in regards to pitfalls and solutions that need to be addressed. The role, needs and rights of support personnel within educational facilities should not and cannot be ignored. This research study has also illustrated that performance management is not purely a private sector management tool, but can in fact be adapted to serve the specific needs of the public sector as a whole and individual public sector institutions. As the public sector continues to function within an environment of limited resources, the role of performance management will greatly increase.

It is however clear that a great deal of research is still needed concerning the application and usage of performance management within the South African public sector. Although the researcher has demonstrated that there have been some developments within this area, it is not nearly comprehensive and inclusive enough. This is specifically illustrated by the lack of information and specific guidelines available in the researcher's own experience of designing a performance management system for support personnel within an educational facility. Although the South African public sector has started on the road towards performance management, it still has far to travel in order to entrench performance management within the public sector culture.

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ADDENDUM A

Human Resource Management: A General Process Approach
(Adopted from Swanepoel, 1998: 13)

Plan and organise the HR system	Activate, Direct and Lead the HR System		Control the HR System
Planning for and organising the work, the people to do the work and the support functions	Acquisition of required human resources	Utilisation and conservation of the organisation's human resources	Exercising control over the organisation's human resource system
Work/Job analysis Strategies and structures for HRM Work and organisation design Workforce planning	Recruitment Selection Hiring/ Placement Induction/ Socialisation	Performance appraisal and management Training and development Career and succession management Compensation and reward Collective bargaining Communication, motivation and leadership Maintaining sound relations	Maintaining discipline Employee attitude surveys HRM audits/ evaluations HR-related information

ADDENDUM B

An Integrated Performance Management Cycle
(Swanepoel, 1998: 405)

```
┌─────────────────────────────────────┐
│        Performance Planning          │
│                                      │
│        Setting unit's mission        │
│                                      │
│       Defining roles and duties      │
│                                      │
│        Establishing goals and        │
│         performance standards        │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│        Performance Managing          │
│                                      │
│          Ongoing process of:         │
│         Maintaining progress         │
│              Feedback                │
│             Counselling              │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│        Performance Appraisal         │
│                                      │
│        Appraising performance        │
│     outputs angainst expectations    │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│     HR Department Application        │
│                                      │
│           Reward processes           │
│                                      │
│       Training and development       │
│                                      │
│         Succession planning          │
│                                      │
│        Disciplinary procedures       │
│                                      │
│       Reviewing and maintaining      │
│       appraisal system and process   │
└─────────────────────────────────────┘
```

ADDENDUM C

A Generic Performance Management System
(Adapted from Spencer & Spencer, 1993: 265)

Prerequisite Steps

Organisation Strategy Definition

↓

Organisation Objectives Definition

↓

Manager/Work Unit Objective Definition

↓

Start of Period:

Performance Planning:

Definition of job responsibilities and work expectations

Goal setting

During Period:

Performance Management:

Observe and document performance

"Coaching" feedback

Revise work expectations as necessary

Provide development experiences

Reinforce effective behaviour and progress towards goals

End of Period:

Performance Appraisal:

Performance results vs. job expectations.

"Judging" vs. "Coaching"

ADDENDUM D

The 360-Degree Feedback Model

```
                    ┌──────────────────┐
                    │                  │
                    │     Manager      │
                    │                  │
                    └────────┬─────────┘
                             │
                             ▼
┌───────────────┐   ┌──────────────────┐   ┌───────────────┐
│               │   │                  │   │               │
│     Peers     │──▶│    Individual    │◀──│   Customers   │
│               │   │                  │   │               │
└───────────────┘   └────────▲─────────┘   └───────────────┘
                             │
                    ┌────────┴─────────┐
                    │                  │
                    │  Direct Reports  │
                    │                  │
                    └──────────────────┘
```

ADDENDUM E

Mikro Primary School Organogram (Staff Component)

```
                        ┌──────────────────────┐                          ⎫
                        │     Principal:       │                          ⎬  Senior
                        │ Mikro Primary School │                          ⎭  Management
                        └──────────┬───────────┘                          
            ┌──────────────────────┼──────────────┬───────────────┐       ⎫
            ▼                      │              │               │       │
  ┌──────────────────┐            │              │               │       │
  │   Professional   │            │              │               │       │  Mid-level
  │     Teaching     │            ▼              │               │       │  Management
  │    Personnel     │   ┌──────────────┐        │               │       │
  └──────────────────┘   │  Supervisor  │        │               │       │
                         └───────┬──────┘        │               │       │
                                 │               ▼               ▼       ⎬
                                 │       ┌──────────────┐ ┌────────────┐ │
                                 │       │ Information  │ │ Secretary  │ │
                                 │       │ Co-ordinator │ │            │ │
                                 │       └──────────────┘ └────────────┘ │
                                 ▼                                       ⎫
                         ┌──────────────┐                                │  Support
                         │ Maintenance  │                                ⎬  Personnel
                         │  Personnel   │                                │
                         └──────────────┘                                ⎭
```

THE VAN NIEUWENHUYZEN HYBRID PERFORMANCE MANAGEMENTINSTRUMENT

(SECTION A) REVISION OF HEADWAY MADE IN ACCOMPLISHMENT OF PERFORMANCE FACTORS

PERFORMANCE FACTORS	RESULTS (EXPLANATION)	RESULTS (AS PERCENTAGE)	VALUATION
1) **Quality of Work** (Consider the accuracy, thoroughness, neatness and usefullness of the tasks accomplished)			☐ Below Average ☐ Maintain Average ☐ Above Average
2) **Knowledgeableness** (How much knowledge does he/she have of the work? The degree of independence in work)			☐ Below Average ☐ Maintain Average ☐ Above Average

3) **Volume of Work** (The rate and level of productivity of the employee)			☐ Below Average ☐ Maintain Average ☐ Above Average
4) **Trustworthiness** (Loyalty, conscientiousness and reliability)			☐ Below Average ☐ Maintain Average ☐ Above Average
5) **Teamwork/Co-operation** (Attitude towards the effective functioning of section? Attitude towards senior personnel)			☐ Below Average ☐ Maintain Average ☐ Above Average
6) **Initiative/Innovation** (Employee's degree of contribution to original and constructive ideas. Is he/she involved in problem-solving)			☐ Below Average ☐ Maintain Average ☐ Above Average

7) **Attitude and Commitment** (The individual's attitude and level of commitment to his work)			☐ Below Average ☐ Maintain Average ☐ Above Average
8) **Relationship with internal and external customers** (Degree of sensitivity and tact exhibited in dealings with other personnel as well as customers)			☐ Below Average ☐ Maintain Average ☐ Above Average
9) **Personal Impact** (Degree of influence on the actions and behaviour of other personnel. This includes the individual's skill in persuading other personnel)			☐ Below Average ☐ Maintain Average ☐ Above Average

10) **Reliability** (Understands and fulfills client's needs)			☐ Below Average ☐ Maintain Average ☐ Above Average

(SECTION B) EVALUATION OF PROGRESS MADE IN THE ACCOMPLISHMENT OF AGREED GOALS

OBJECTIVES/GOALS AGREED UPON _____	RESULTS (EXPLANATION)	RESULTS (AS PERCENTAGE)	VALUATION
1)			☐ Below Average ☐ Maintain Average ☐ Above Average
2)			☐ Below Average ☐ Maintain Average ☐ Above Average
3)			☐ Below Average ☐ Maintain Average ☐ Above Average

4)			☐ Below Average ☐ Maintain Average ☐ Above Average
5)			☐ Below Average ☐ Maintain Average ☐ Above Average
6)			☐ Below Average ☐ Maintain Average ☐ Above Average
7)			☐ Below Average ☐ Maintain Average ☐ Above Average

8)			☐ Below Average
			☐ Maintain Average
			☐ Above Average
9)			☐ Below Average
			☐ Maintain Average
			☐ Above Average
10)			☐ Below Average
			☐ Maintain Average
			☐ Above Average
11)			☐ Below Average
			☐ Maintain Average
			☐ Above Average

12)			☐ Below Average ☐ Maintain Average ☐ Above Average
13)			☐ Below Average ☐ Maintain Average ☐ Above Average
14)			☐ Below Average ☐ Maintain Average ☐ Above Average
15)			☐ Below Average ☐ Maintain Average ☐ Above Average

AVERAGE PERCENTAGE: _____

AVERAGE VALUATION:

☐ Below Average

☐ Maintain Average

☐ Above Average

(SECTION C) OVERALL PERFORMANCE MEASUREMENT

Written commentary in explanation and interpretation of the above-given score. Any additional information or commentary that was not covered in the above measurement.

_____

_____

_____

_____

_____

_____

_____

(SECTION D) EMPLOYEE SELF-EVALUATION IN TERMS OF EMPLOYEE WORK SATISFACTION

Existing level of the specific employee's level of work satisfaction

Very
Dissatisfied

Very
Satisfied

1	2	3	4	5	6	7	8	9

Reasons?

_____

_____

_____

(SECTION E) DEVELOPMENT/TRAINING NEEDS OR OPPORTUNITIES

1. Describe how you would like to see your career develop within the organization (please supply a time framework)

_____

_____

_____

_____

_____

_____

_____

2. Identify and describe any training or other factors that would help in the execution of your job.

_____

_____

_____

_____

_____

_____

_____

(SECTION F) OBJECTIVES/GOALS FOR THE NEXT EVALUATION PERIOD

Evaluation period (From_____ to_____)

_____

_____

_____

_____

_____

_____

_____

_____

_____

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_____

(SECTION G)
EVALUATOR'S COMMENTARY

_____
_____
_____
_____
_____
_____
_____

Signed: **Date:**

_____   _____

EMPLOYEE'S COMMENTARY

_____
_____
_____
_____
_____
_____
_____

Signed: **Date:**

_____   _____

STATISTICAL INTEGRATION MODEL

Practical explanation of average score achieved by employee.

A. (80% - 100%)   Employee delivers exceptional performance, far above that which is expected. Employee shows initiative and creativity.

B. (70% - 79%)   Employee delivers work of high levels of performance, above that that which is expected. Employee shows some initiative and creativity.

C. (60% - 69%)   Employee delivers performance above the standard required.

D. (50% - 59%)   Employee delivers performance on standard.

E. (40% - 49%)   Employee delivers performance under standard and needs attention.