

**A PERFORMANCE MANAGEMENT APPROACH FOR PROVINCIAL
OFFICE-BASED EDUCATORS**

by

WALTER TERENCE HERMAN

HDE (PCE); B.A. (UFS); B.Ed. (UFS); M.Ed. (UFS)

Thesis submitted in fulfilment of the requirements for the degree

Philosophiae Doctor in Education

(Ph.D. Education Management)

in the

FACULTY OF EDUCATION

SCHOOL OF EDUCATION STUDIES

(EDUCATION MANAGEMENT)

at the

UNIVERSITY OF THE FREE STATE

January 2019

BLOEMFONTEIN

SOUTH AFRICA

Promoter: Professor Willy Nel

DECLARATION

I, Walter Terence Herman, declare that the thesis

“A PERFORMANCE MANAGEMENT APPROACH FOR PROVINCIAL
OFFICE-BASED EDUCATORS”

handed in for the qualification of Doctor of Philosophy at the University of the Free State, is my own independent work and that I have not previously submitted the same work for a qualification at any other university.

I also declare that no work of other scholars has been used without the means of proper citation and that all the sources used or quoted have been indicated and acknowledged by means of complete references.

I hereby cede copyright to the University of the Free State.

WALTER TERENCE HERMAN

Signed:  Date: January 2019

ACKNOWLEDGEMENTS

It has been a long and arduous journey to this achievement, during which I relied on a lot of support, patience and love, especially from the Almighty.

To my loving wife, Tracey, thank you for carrying me along on this journey. It is not common that husband and wife undertake Ph.D. studies simultaneously. We had a dream to ascend the stage together at the end of blood, sweat and tears...and we did!

My best friend, Dr Tony Mpsi – you were at my side from college studies to achieving our Masters degrees. All along, you continued to motivate me to complete this unfinished business of a Ph.D. Thank you for your unreserved support and friendship.

On my journey, I had the privilege of support and guidance of esteemed promoters in Dr Nathan Bagarette and Prof Molebatsi Milton Nkoane. Ultimately, it was Professor Willy Nel, who started as my co-promotor, who led me to the finish line. I am eternally grateful for his guidance and support. A special thanks to Dr Susette Brynard for her support with the final adjustments to this thesis.

A special thanks to the Northern Cape Department of Education and Office of the Premier for the permission granted to conduct the study, and the respective officials for their participation in this research.

To Dr Jabulani Sibanda for the professional language editing of this work.

A special thanks to Chris Mpsi, Sunita Vallabh, Gavin George, Prof Gregg Alexander and all my family, friends and colleagues for their love and support. I would like to express my heartfelt appreciation and gratitude to all who contributed to the success of this study.

DEDICATION

I dedicate this work to my parents, Robert and Linda Herman, posthumously, for always believing in me and encouraging my academic endeavours. Lack of funding and other reasons had me following a long, arduous route to completing this Ph.D. Although they cannot share this moment with me, I know that they are proudly smiling on me from heaven.

Let this achievement be proof to my son, Wesley, that through patience, belief and hard work, anything can be achieved.

I also dedicate this achievement to my teachers and colleagues at Pescodia High school and the largely neglected community of Pescodia, Kimberley, where I grew up. May more and more Pescodians rise above their circumstances and make us proud.

Professor Willy Nel – my promotor

One of my favourite films of all time is “A beautiful mind” in which Russel Crowe stars as a “misunderstood”, schizophrenic genius. Professor Nel was certainly not a schizophrenic, nor was he ever misunderstood. Instead, he was a genius with a very sound mind, who knew exactly where he stood and what he wanted – and surely so did his students, friends and colleagues. It is the way in which his mind worked that earned him my reference to the title of “a beautiful mind”. When in conversation with him, he would move his eyes from side to side, twirl the dreadlocks he then had, or rub his chin. That was the clear sign that his beautiful mind is in overdrive – connecting knowledge from different spheres. He could easily flip from high academic language to social banter in a blink of an eye. He was an astute academic with a huge vault of knowledge. Professor Nel sadly passed away on 13 April 2019, before this degree could be conferred. I will certainly miss his guidance, his friendship, his collegiality, his unmistakable wit and ... his beautiful mind.

ABSTRACT

The aim of the study was to suggest an approach to the implementation of Performance Management and Development (PMDS) for office-based educators in the Northern Cape, South Africa. There seems to be dissatisfaction with public employee performance management systems in the Northern Cape. Poor implementation of employee performance management and development systems can be attributed to flaws in the system itself or to the human implementers. Lack of understanding of the system, unfair and inconsistent implementation, manipulation of the system and low commitment are cited as the most common reasons why public employee performance management fail.

The research was designed to derive interpretive schemes through a literature study on concepts central to employee performance management, and through a document analysis of public performance management systems and frameworks (PMDS, EPMDS and government planning, monitoring and evaluation frameworks). Literature reviews and document analysis provided a framework from which semi-structured interviews could be conducted with office-based educators and participants that resort under another public employee performance management system (EPMDS). Employee performance management ultimately aims to reward excellent performance and offer development opportunities for underperformance. It is specifically the reward aspect that leaves PMDS open to abuse as supervisors may use the system to victimise subordinates. Emancipation from abusive power relations is a key aspect of the critical community psychology approach which also served as theoretical framework for the study.

Key findings of the study include that, despite its good intention (motivation), reward for good performance seems to have the adverse effect in that it threatens the very harmonious relationships between staff that it hopes to promote. The subjective aspects of performance ratings provide opportunity for bias and power relations, which bedevils the noble intentions of public performance management systems. Development opportunities provided by the system also do not serve its

intended purpose, and is often thwarted by budget constraints and poor planning. Furthermore, the critical aim of enhancing organisational performance is missed because of a disjuncture between employee performance management and organisational planning, monitoring and evaluation.

Through a triangulation of the findings from literature reviews, document analysis and semi-structured interviews, this study aimed to produce new knowledge in the form of a suggested approach to a performance management system that seemingly did not serve its purpose. This suggested approach should give credibility to the performance management system for office-based educators and reduce dissatisfaction with it.

KEY WORDS: employee performance management, PMDS, power relations, office-based educators, critical community psychology, disgruntlement, supervisors, subordinates

TABLE OF CONTENTS

DECLARATION.....	ii
ACKNOWLEDGEMENTS	iii
DEDICATION	iv
ABSTRACT	v
ABBREVIATIONS/ ACRONYMS.....	xvi
Chapter 1. Orientation	1
1.1 Introduction	1
1.2 Background.....	3
1.3 Rationale and statement of the problem	5
1.4 Research questions	6
1.5 Aim of the study	7
1.6 Theoretical Framework	7
1.7 Research methodology	9
1.7.1 Demarcation of the study.....	11
1.7.2 Limitations of the Study	12
1.7.3 Delimitations of the study.....	12
1.8 Value of research	13
1.9 Ethical considerations	14
1.10 Referencing technique	16
1.11 Layout of chapters.....	16
1.12 Glossary of terms	19
Chapter 2. Theoretical framework and research design.....	23
2.1 Introduction	23
2.2 Theoretical framework.....	23
2.2.1 Background	23
2.2.2 Positivism	24
2.2.3 Anti-positivism	25

2.2.4	Post-modernism	25
2.2.5	Determination of theoretical lens	26
2.2.6	Interpretivism	29
2.2.6.1	Historical Background	29
2.2.6.2	Principles and Objectives	30
2.2.7	Critical Community Psychology	30
2.2.7.1	Historical Background	31
2.2.7.2	Principles and Objectives	33
2.2.7.2.1	Intervention	33
2.2.7.2.2	Empowerment	33
2.2.7.2.3	Prevention	34
2.2.7.2.4	Participation	34
2.2.7.2.5	Social Justice	34
2.2.7.2.6	Diversity	35
2.2.7.2.7	Wellness	35
2.2.7.3	Relevance to the study	36
2.3	Methodology and related methods	38
2.3.1	Literature study	39
2.3.2	Document analysis	40
2.3.3	Semi- structured interviews	40
2.4	Schematic representation of research design	41
2.5	Qualitative data: Selection of participants	43
2.5.1	Sampling	43
2.5.2	Data Gathering and Analysis	46
2.6	Conclusion	47
Chapter 3. Performance management in perspective: A literature study		48
3.1	Introduction	48

3.2	Value of a literature review	49
3.3	Concepts central to employee performance management.....	50
3.3.1	Performance management	50
3.3.2	Performance Assessments (Evaluations/ Appraisals)	52
3.3.3	Performance interviews	53
3.3.4	Performance measurement/ ratings	54
3.3.5	Performance information (supporting evidence)	57
3.3.6	Performance feedback.....	58
3.3.7	Office-based Educators	59
3.3.7.1	Manager/ Supervisor.....	59
3.3.7.2	Appraisee/ Subordinate.....	60
3.3.8	Key Performance Area/ Key Results Area.....	60
3.3.9	Performance indicator.....	61
3.3.10	Reward	61
3.3.11	Disciplinary action.....	62
3.3.12	Performance Development/ Coaching.....	63
3.3.12.1	Individual learning	64
3.3.12.2	Organisational learning	64
3.4	Purpose of government employee performance management systems	65
3.5	Types of performance management	66
3.5.1	The 360-degree performance appraisal	69
3.6	Integration of employee and organisational performance	70
3.7	Performance Management- public sector versus private sector	72
3.8	Perspectives on performance management.....	74
3.9	Current perspectives to support the problem statement.....	75
3.10	Findings	81
3.11	Conclusion	84

Chapter 4. Employee performance management: A document analysis	87
4.1 Introduction	87
4.2 Why a document analysis?	88
4.2.1 Introduction.....	88
4.2.2 Document analysis: Advantages	89
4.2.3 Document analysis: Limitations	89
4.2.4 Which documents to analyse?.....	89
4.3 The government planning cycle	91
4.3.1 The policy framework for government-wide monitoring and evaluation	91
4.3.2 The framework for strategic plans and annual performance plans	92
4.3.2.1 Oversight of organisational performance	95
4.3.2.2 Oversight of employee performance	96
4.4 The relationship between performance agreements and strategic planning	97
4.5 Comparison of PMDS and EPMDS in terms of core criteria	99
4.5.1 Aims of performance management.....	99
4.5.2 Performance management cycles	102
4.5.3 Performance assessment documents	102
4.5.3.1 Job Descriptions.....	103
4.5.3.2 Performance agreements.....	103
4.5.3.3 Work Plans.....	104
4.5.3.4 Personal Development Plans (PDP)	105
4.5.4 Objective assessment.....	106
4.5.5 Subjective assessment.....	106
4.5.6 Performance review and feedback	110
4.5.6.1 Upward feedback	111
4.5.7 Moderation.....	112
4.5.8 Reward	114

4.5.9	Development	115
4.5.10	Training on performance management.....	116
4.5.11	Dispute resolution.....	116
4.6	Findings and conclusion.....	117
Chapter 5. Presentation and analysis of qualitative data		121
5.1	Introduction	121
5.2	Findings from literature studies and document analysis that informed semi-structured interviews	122
5.2.1	Employee performance vs departmental performance	122
5.2.2	Understanding the job and the performance management systems... ..	123
5.2.3	Forced interaction between supervisor and subordinate	123
5.2.4	Objectivity	124
5.2.5	Reward	124
5.2.6	Development	125
5.2.7	Questions of clarification.....	125
5.3	Analysis of semi-structured interviews – Responding to Aims of PMDS ...	126
5.3.1	Improving performance/ service delivery	126
5.3.2	Linking of job descriptions, work plans and performance agreements to improve corporate goals	126
5.3.3	Linking departmental objectives with performance documents.....	128
5.3.4	Employee performance vs Organisational performance	129
5.3.5	Improving understanding of what is expected of the employee	131
5.3.6	Promoting interaction and communication.....	133
5.3.7	Improving relationships.....	133
5.3.8	Fairness and Objectivity	136
5.3.9	Systems to corroborate performance scoring	137
5.3.10	Subjective criteria of performance management	138

5.3.11	Effects of performance management on motivation of employees	139
5.3.12	Dispute resolution	140
5.3.13	Planning for personal development	141
5.3.14	Managing unsatisfactory performance	142
5.3.15	Decisions on Rewards	144
5.3.16	Establishing a learning culture in the Public Service	146
5.4	Advantages/ positives of the current performance management systems	146
5.5	Recommendations for employee performance management.....	147
5.6	Common problems with public performance management systems	148
5.7	Findings and Conclusion	149
Chapter 6. Employee performance management for office-based educators: A suggested approach		152
6.1	Introduction	152
6.2	Requirements for performance management systems.....	154
6.3	A suggested PMDS approach for office-based educators.....	156
6.3.1	Strategic Planning	156
6.3.2	Performance management tools.....	158
6.3.3	Employee performance management documents	159
6.3.3.1	Job descriptions	159
6.3.3.2	Performance Agreements	160
6.3.3.3	Work plans	161
6.3.3.4	Personal Development Plans (PDPs)	161
6.3.3.5	Summary.....	162
6.3.4	Submission of plans	162
6.4	Employee Performance Management Training	163
6.4.1	Training on the employee performance management system	163
6.4.2	Job specific training	163

6.4.3	PDP related training and development	164
6.5	Assessment and feedback	164
6.5.1	Assessment frequency	164
6.5.2	Feedback practices	165
6.5.3	Performance information (supporting evidence)	166
6.5.4	Performance interviews	167
6.5.5	Performance scoring	167
6.5.6	Rating scale.....	168
6.5.7	Moderation and feedback	170
6.5.8	Grievance/ dispute resolution	171
6.5.9	Reward	171
6.6	Consultations on employee performance management.....	172
6.7	Recommendation for employee performance documents.....	173
6.8	Recommended tables for online integration.....	175
6.8.1	Employee work plan	175
6.8.2	Unit plan	176
6.8.3	Annual performance plan (departmental)	177
6.8.4	Employee quarterly reporting.....	178
6.9	Employee performance	179
6.10	Conclusion	180
Chapter 7.	Conclusions and recommendations.....	183
7.1	Introduction	183
7.2	Reflection on theoretical framework.....	183
7.3	Response to secondary research questions	185
7.4	Key findings/ conclusions.....	186
7.4.1	Improving corporate goals	186
7.4.2	Understanding job expectations	188

7.4.3	Fostering good working relations	189
7.4.4	Objectivity vs Subjectivity	190
7.4.5	Training and development	191
7.4.6	Reward for good performance	192
7.5	A singular employee performance management system	193
7.6	How can employee performance management be strengthened?	194
7.7	Recommendations for further study	197
7.8	Concluding word	197
	BIBLIOGRAPHY	199
	ANNEXURES.....	211
	ANNEXURE A. ETHICAL CLEARANCE.....	211
	ANNEXURE B. PROOF OF LANGUAGE EDITING	213
	ANNEXURE C. TURNITIN REPORT.....	214
	ANNEXURE D. CONSENT TO DO RESEARCH AT THE NCD _o E.....	215
	ANNEXURE E. CONSENT TO DO INTERVIEWS AT NCDOE.....	217
	ANNEXURE F. CONSENT TO DO INTERVIEWS AT OTP.....	219
	ANNEXURE G. CONSENT- PARTICIPANT.....	221
	ANNEXURE H. SEMI-STRUCTURED QUESTIONNAIRE.....	226

List of Tables

Table 1: NCDOE Human Resource Profile	44
Table 2: Interview plan.....	45
Table 3: Comparison of Aims/ Objectives.....	100
Table 4: Subjective criteria for PMDS and EPMSD	108
Table 5: Manifestation-cause-solution	152
Table 6: Target achieved rating	169
Table 7: Supporting evidence provided rating	169
Table 8: Competency rating.....	169
Table 9: Suggested performance reward approach.....	172
Table 10: PDP record	175
Table 11: Employee Work plan.....	175
Table 12: Unit plan.....	176
Table 13: Strategic plan template	177
Table 14: Annual Performance Plan.....	177
Table 15: Quarterly reporting assessment.....	178
Table 16: Upward feedback.....	179
Table 17: Employee scorecard	179
Table 18: Public service performance cycle	182

List of Figures

Figure 1: Theoretical approach.....	9
Figure 2: Research design.....	42
Figure 3: Triangulation of data.....	43
Figure 4: Logical framework	93
Figure 5: Interrelationship between organisational performance and employee plans	98
Figure 6: Grievance/ dispute resolution	171

ABBREVIATIONS/ ACRONYMS

1	AG	Auditor-General
2	APP	Annual Performance Plan
3	CMC	Core Management Criteria
4	DMC	Departmental Moderating Committee
5	DPME	Department of Planning, Monitoring and Evaluation
6	DPSA	Department of Public Service and Administration
7	EA	Executive Authority
8	ELRC	Education Labour Relations Council
9	EMS	Education Management Service
10	EPMDS	Employee Performance Management and Development System
11	FMPPi	Framework for Managing Programme Performance Information
12	FSPAPP	Framework for Strategic Plans and Annual Performance Plans
13	GAF	Generic Assessment Factor
14	GWM&E	Government Wide Monitoring and Evaluation
15	HOD	Head of Department
16	HRD	Human Resource Development
17	IRC	Intermediate Review Committee
18	JD	Job Description
19	KPA	Key Performance Area
20	KRA	Key Result Area
21	M&E	Monitoring and Evaluation
22	NCDOE	Northern Cape Department of Education
23	OTP	Office of the Premier
24	PA	Performance Agreement
25	PAR	Provisional Assessment Rating
26	PDP	Personal Development Plan
27	PI	Performance Indicator
28	PMDS	Performance Management and Development Scheme
29	PSA	Public Service Act
30	PSC	Public Service Commission
31	SMART	Specific, Measurable, Achievable, Relevant and Time-bound
32	VAR	Validated Assessment Rating
33	WP	Work Plan

Chapter 1. Orientation

1.1 Introduction

Employee performance management is a contentious issue on which studies have been published before, but for which, thus far, seemingly no workable solution has been implemented. Research specifically on employee performance management of office-based educators is far less prevalent, which by no means suggests that this specific community is satisfied with the system to which they are subjected. In this study, perceived dissatisfaction of office-based educators with the employee performance management system at the Northern Cape Department of Education (NCDOE) was investigated with the aim to suggest an approach that would address the source(s) of this perceived dissatisfaction.

The advent of democratic rule in South Africa necessitated the organisation of various transformative initiatives in the Public Service. Most of these initiatives were aimed at ensuring that the Public Service becomes accountable in the manner in which it uses public resources and delivers services to society. In this regard, performance management systems, coupled with employee development became one of the vehicles through which such accountability could be fostered. Implementation of employee performance management systems in the South African public service seems to be problematic. The Northern Cape government, and specifically the Northern Cape Department of Education, is apparently not immune to problematic implementation of employee performance management systems, as is evident in local (Northern Cape) newspaper articles. The following quotes from local newspapers over a period of time indicate that a problem exists in public employee performance management in the Northern Cape:

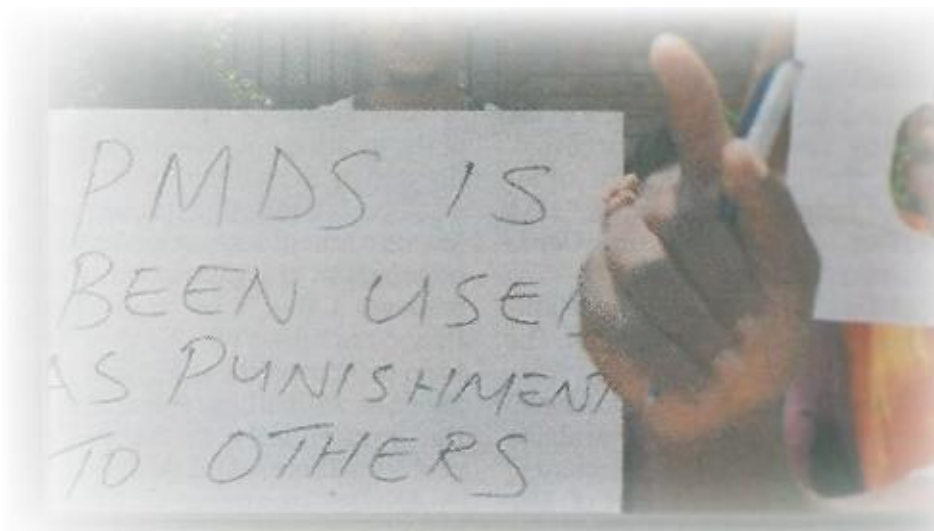
“Workers at the Northern Cape Department of Education have threatened to plunge the department’s 2012 matric examination preparation into chaos if the department does not, amongst other things, pay their performance bonuses.”

“The management got their performance bonuses but workers reporting to them have not been paid. We are now being informed that there is no money” (Mokoena, 2012: 5), in *Diamond Fields Advertiser* 12 October 2012.

“The protest will continue unless the collective agreement entered into during the 2010/11 financial year as well as the outstanding performance management development system that was supposed to have been implemented during the 2011/12 financial year are signed by noon today.” (Kwon Hoo, 2013: 7) in *Diamond Fields Advertiser* 30 April 2013.

“... is very unfair when it comes to EPMDS (Employee Performance Management and Development System). They are always considering the provincial staff, as if we at the regional district do not deliver. Even if you are rated to qualify, they decide, all of a sudden, to give to provincial staff only. This is unfair.” (Anonymous (Unfairly treated), 2012: 18) in *Diamond Fields Advertiser* 27 September 2012.

“They also handed over a memorandum, which called for the immediate suspension of alleged corrupt officials and a review of the EPMDS process.” - (Halata, 2012: 6) in *Diamond Fields Advertiser* 13 December 2012.



Diamond Fields Advertiser, 13 December 2012: 1

According to Schneier, Beatty and Baird (1987: a), polls and surveys regularly demonstrate that performance appraisal is viewed as ineffective by those appraised, those conducting the appraisal, and those required to design and administer the process. Documented reasons for this include:

- employees' fear of evaluation,
- managers/ supervisors fearing the role of a judge,
- poor performance measures,
- inadequate communication skills,
- few rewards for high ratings, and
- no accountability for effective accurate appraisals.

Employee performance management systems aim to motivate both good and poor employee performance, to continuously improve employee performance towards ultimately ensuring good organisational performance. There is thus a relationship between employee performance and organisational performance. However, current perception seems to suggest that employee performance management systems implemented in the South African Public service may have the opposite effect from the intended. This study endeavoured to uncover if this perception is true, with specific reference to the Northern Cape Education Department.

1.2 Background

The South African Public Service implements three different employee performance management systems (excluding senior management). Educators in the Republic of South Africa are appointed in terms of the Employment of Educators Act *no 76 of 1998*. A distinction is made between school-based educators, who are primarily appointed to teach in schools; and office-based educators, who perform an administrative and support function as education specialists at district, provincial and national levels. Because of their differences in function, two different performance management systems were introduced to manage the performance of educators. Office-based educators' performance is guided by Collective Agreement no 3 of 2002, and that of school-based educators

by Collective Agreement no 8 of 2003, the Integrated Quality Management System (IQMS). The third employee performance management system implemented in the public services involves administrative employees (non-educators appointed in terms of Section 8.1 (c) of the Public Service Act no 103 of 1994) who work hand in hand with office-based educators at education offices, but are evaluated under their own Employee Performance Management System. The national Department of Public Service and Administration (DPSA) provides a voluntary guide (2007: 9) which provinces can adapt and use for employee performance management and development (EPMDS) of employees appointed under the Public Service Act no 103 of 1994.

Although this study focusses on PMDS for office-based educators, comparison to, and analysis, of EPMDS will be helpful in the unearthing of positives and negatives of both systems. A comparative approach to employee performance management between EPMDS and PMDS, is more meaningful than comparing employee performance management between PMDS and IQMS, as both EPMDS and PMDS apply to office-based officials. The school-based IQMS is complicated, specific to school-based educators' working conditions and presents unique challenges that would not necessarily add value to this study. The difference between employee performance management systems for office-based and school-based educators is understood, but why a uniform system is not used for public service employees and office-based educators as they are mostly confined to office administration and support, deserves further investigation. Having served at various levels in the public service as a school-based educator and an office-based educator in the Education Department, as well as an official in two provincial departments, I became aware that dissatisfaction with implementation is rife within all three of the performance management systems. Hence, my personal interest to pursue a formal study on this issue.

1.3 Rationale and statement of the problem

Performance management systems may be implemented with reasonable success in the private sector. The South African Public Service is not very successful in implementing an employee performance management system that is easy to administer and that meets the approval of the employees it is designed to appraise. Mohube (2009: 1-3) refers to how, since 1994, new policies are constantly developed, but implementation hampers the realisation of the good intentions of these policies. She specifically refers to the absence of a system to evaluate the standards set for office-based educators.

I concur with Bacal (1999: 11-13), that performance management is a challenge, by and large because almost all employees do not look forward to the process. There are endless "senseless" forms to fill in, it is time-consuming, and it compromises relationships. Liff (2011: 8-9) goes further in highlighting the discontent that can be caused when underperforming programmes/ employees are rewarded with performance bonuses. However, Bacal (1999: 14) argues that if performance management is implemented to prevent problems and identify barriers to success, it can actually contribute to saving time and money.

My personal experience in the public service is that the implementation of employee performance management systems does not meet its intended outcomes. I have been subjected to all three mentioned employee performance management systems in the public service and my personal experience resonates with the earlier quoted newspaper articles. It seems that many public servants are evidently dissatisfied with the respective performance management systems, especially if the outcomes do not favour them. Hunt (2005: 4) and Cameron (2009: 25) concur with the Public Service Commission report (2007: xi-xii) on granting of performance rewards in the Departments of Education and Social Development, that one of the biggest problems with performance appraisal is that it is not taken seriously, either by the employee or by the organisation. As a manager responsible for monitoring and evaluating the performance of a provincial

department, I often found that departmental units underperform in the official departmental performance reports, but officials within those units receive performance bonuses when assessed through their specific employee performance management and development system. This glaring contradiction gives impetus to my desire to study employee performance management systems in the public service.

The above observation, coupled with numerous reports in local newspapers on perceived dissatisfaction about performance management systems in the public service, serves as good motivation to investigate performance management at the NCDOE, specifically because this Department implements all three different public employee performance management systems in South Africa. There is lack of an effective performance management system for the niche group of office-based educators. Therefore, this study focussed on employee performance management specifically for office-based educators as they are the smallest and most under-researched community of public servants (Mohube, 2009: 2). The suggested approach towards performance management for office-based educators, put forward in this thesis, also aims to address perceived dissatisfaction with the PMDS from an emancipatory viewpoint as embedded in critical community psychology.

1.4 Research questions

From the problem statement, the following research question was formulated.

Main Research Question:

What performance management approach can be proposed for office-based educators?

Emanating from the main research question are the following secondary questions:

1. How does the current PMDS for office-based educators compare against other practices of employee performance management?
2. What are the perceptions of stakeholders (Office-based educators, employees appointed under the Public Service Act no 103 of 1994, Human Resource officials, Policy and Planning officials, Labour officials) regarding employee performance management?
3. How should individual employee performance (PMDS) contribute to the achievement of organisational strategic objectives?

1.5 Aim of the study

The aim of this study was to propose an employee performance management approach for office-based educators in a provincial education department.

To achieve the aim, the following objectives were set:

1. To compare the current PMDS for office-based educators with other practices of performance management.
2. To collate the perceptions of office-based educators in the NCDOE on PMDS and juxtapose them against those of public servants under EPMDS.
3. To analyse employee performance management systems and their role in achieving organisational strategic objectives.

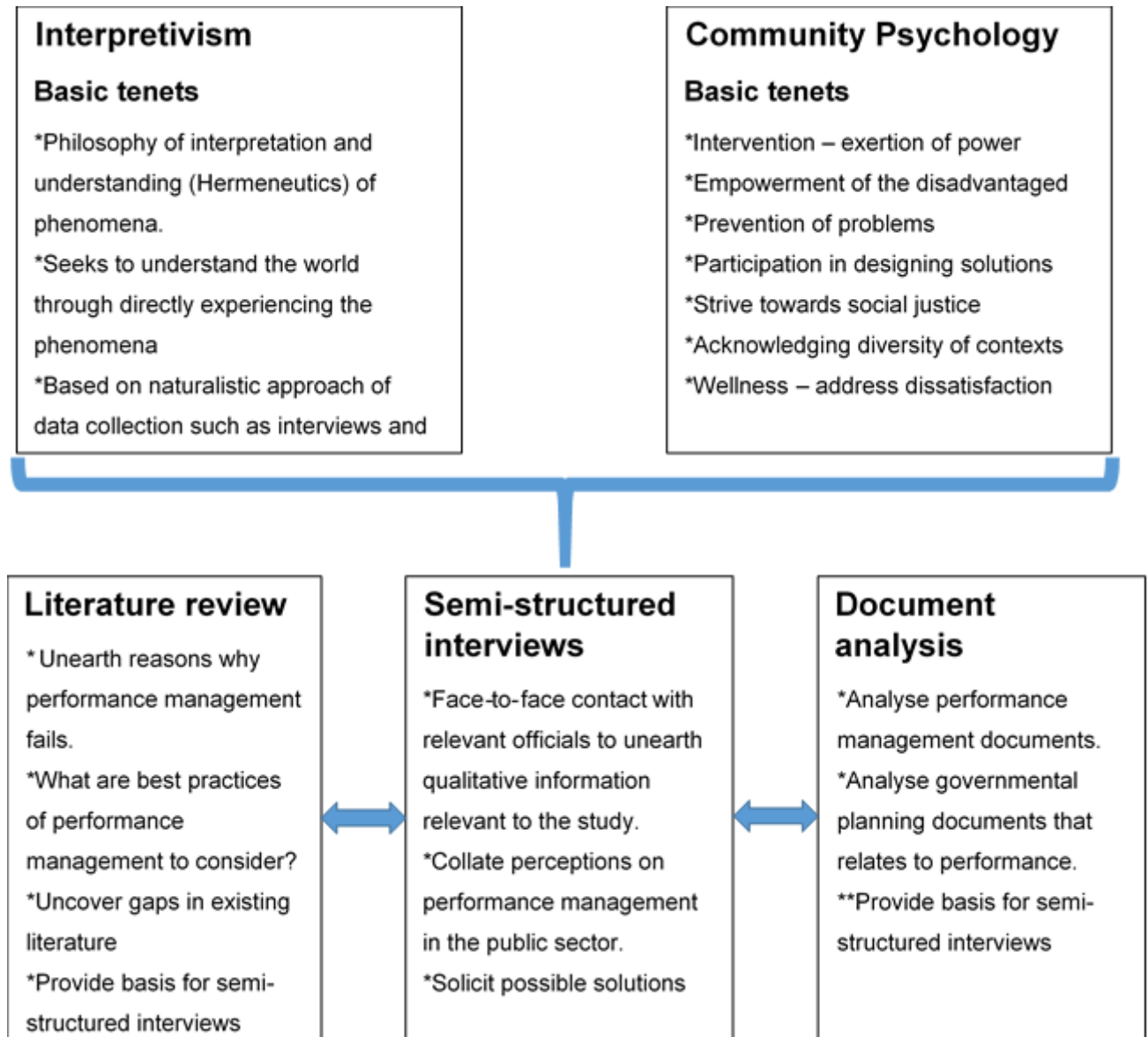
1.6 Theoretical Framework

After deciding on this research topic, I was confronted with the questions of “what?”, “when?” and inevitably “how?”. The “how?” question proved to be the most challenging and necessitated thorough research on past and contemporary theoretical approaches. More importantly, is the decision on which approach

would be most suited to realising the objectives of this research as it relates to the implementation - and human relations issues identified under the statement of the problem. The few studies done on employee performance management for office-based educators focused mainly on gathering quantitative data and addressing the performance system per se. None had a specific focus on the human interactive dynamics such as power relations, which influenced my methodological choices. Mosoge and Pilane (2014: 8-9) defines power relations in terms of a dominant group that maintains power by coercing and manipulating others to comply with its directives. The active reaction of the subordinate group against this coercion and manipulation, causes the tension prevalent in the relationship. A positivist approach would yield quantitative data, such as how many officials are dissatisfied with PMDS, and not necessarily respond to underlying reasons for dissatisfaction. A qualitative approach would provide the opportunity to dig deeper into the reasons why there is dissatisfaction with PMDS, and to unearth possible solutions directly from the relevant officials. Interpretive studies lend itself to the implementation of data gathering methods such as interviews. Literature studies and document analysis are ideal to provide the background information to support semi-structured interviews.

In chapter 2, I qualify why I chose an interpretive design (post-positivist) for gathering qualitative data and augmented it with a critical community psychology (post-modernist) approach to the power dynamics inherent in PMDS. This choice of approach made this study unique in design in response to the research questions it wished to address. The following self-designed diagram summarises the reasons why interpretivism and community psychology is ideal for this study:

Figure 1: Theoretical approach



1.7 Research methodology

Marshall and Rossman (1995), in Merriam (2002: 11) suggest that qualitative research is designed to understand processes, describe poorly understood phenomena, understand differences between stated and implemented policies, and discover thus far, unspecified contextual variables. “Qualitative” also indicates that this approach concentrates on the qualities of human behaviour (Mouton, 1988: 1). Unlocking underlying information would require direct interaction with participants.

According to Willis (2007: 6) and Henning (2004: 20), interpretivists favour qualitative methods such as case studies, interviews and observations because these methods are better suited to getting at how humans interpret the world around them. Merriam (2002: 12) and Mouton (1988: 12) concur on interviews and observation as sources of data collection for qualitative research, but add document analysis as a third option. Fynn (2011: 75-76) lists the following features of the qualitative approach which make it suitable for this study:

- Engagement with the participant,
- Openness to multiple sources of data, and
- Flexible design that allows the researcher to adapt the study.

The background provided above provided enough justification to follow a qualitative approach. I selected literature studies, document analysis and semi-structured interviews as appropriate to gather data for this study.

Literature studies on specifically PMDS, as it relates to the South African public service, is limited. Hence, literature studies had to be expanded to include general performance management literature, which includes private sector practices. This study would be incomplete without a document analysis of the PMDS document regulating the system. This document (PMDS) must be juxtaposed with a peer document, EPMDS, for public servants whom are not educators, in order to provide valuable insight into what may be workable for public servants in general. The release of new documents for PMDS (2017) and EPMDS (2018) required comparison with their predecessors in order to ensure that all changes are covered, and that the questions compiled for semi-structured interviews, remained valid. Analysis of government frameworks is also essential in order to respond to the research question on whether there is a link between employee performance and organisational performance.

Literature studies and document analyses provide valuable interpretive schemes for semi-structured interviews. Ethical clearance for interviews were obtained from the University of the Free State and the Northern Cape Education Department, as well as from the Northern Cape Office of the Premier. A representative sample of supervisors and subordinates, representing both PMDS (5) and EPMDS (5) employees were selected using purposive sampling. Purposive sampling was employed in order to approach relevant officials based on their expertise on the topic (eg officials in labour relations). Participants were briefed on ethical issues; after which they were afforded the opportunity to voluntarily participate. Interviews were held at times and locations determined by participants. This ensured a conducive milieu where participants could not feel intimidated.

Interviews were recorded (with consent of participants) using audio recording equipment. Transcriptions were done manually by myself, after which both transcriptions and audio recordings were stored in a password protected folder and kept in a safe. Participants were assigned numbers to ensure their anonymity. Transcriptions emanating from interviews, formed the basis of chapter 6. Further elucidation on the chosen research design and methodology is provided in chapter 2.

1.7.1 Demarcation of the study

This study was limited to the implementation of PMDS for office-based educators at the provincial head office of the Northern Cape Education Department. Office-based educators in the senior management scheme (SMS), as well as school-based educators (IQMS), were excluded from this study as they subscribe to a totally different performance management system that does not relate to the specific dynamics of basic office support. However, employees appointed under the Public Service Act no 103 of 1994 are also office-based, and offer similar administrative and support functions and thus, their employee performance management system (EPMDS) was worth comparing to PMDS. To put the situation of the office-based educators in proper perspective, and to get a

provincial perspective of the implementation of performance management systems, I also interviewed relevant employees appointed under the Public Service Act no 103 of 1994 at the NCDOE and the Provincial Office of the Premier. Interviews (formal and informal) were conducted with selected office-based educators and public service employees in order to acquire broader knowledge on employee performance management. It was prudent for me to also include unstructured interviews with labour union representatives, human resource practitioners, and policy and planning/ monitoring and evaluation officials to ascertain the levels and sources of satisfaction /dissatisfaction with PMDS. These officials were included in my sample of participants.

1.7.2 Limitations of the Study

Respondents may fear victimisation if not satisfied that confidentiality could be guaranteed. Getting to the root causes of the problem depended on a trust relationship between researcher and participant and a conducive milieu for the interviews. No other foreseeable risks for both participant and researcher were anticipated nor experienced in the study.

1.7.3 Delimitations of the study

Delimitations were within the researcher's control. The sample of participants could easily be obtained as the NCDOE was accessible to me, even if I did not work there. Officials from the OTP was also easily accessible. Both PMDS and EPMDS were revised during the study and I had to take particular care in references as not to confuse participants or the reader.

1.8 Value of research

This study attempted to make a contribution to:

- a proposed employee performance management approach for office-based educators,
- a comprehensive report on public servants' perceptions on, as well as the implementation of employee performance management in the Northern Cape, and
- recommendations that can be considered for input into future public employee performance management models.

The individuals, organisations or entities that would most likely derive the greatest benefit from the results of this research study are:

- **The Department of Public Service and Administration (DPSA), Collective Bargaining Councils, Labour Unions and specifically provincial and National Departments of Basic Education**

The suggested employee performance management approach and recommendations can be used in the development of a uniform performance management system for office-based educators and employees appointed under the Public Service Act no 103 of 1994 in South Africa.

- **The Department of Planning Monitoring and Evaluation (DPME)**

Recommendations made may improve the national monitoring and reporting system currently implemented.

- **The Northern Cape Department of Education**

This Department will get valuable insight into the implementation of PMDS within its ranks, as well as the perceptions of office-based educators on the system.

- **Office of the Premier**

This Offices of Premiers are expected to customise and implement a national employee performance management system (EPMDS). Recommendations from this study can be used for input in future performance management models and assist in the provincial customisation process.

- **Future Researchers**

Recent literature on performance management practices in the public sector is limited (nationally and internationally), which adds impetus to the value this research will add to the topic. Some older sources used in this study were included based on their relevance and because they are primary sources. This research will add to the limited available research on the topic of employee performance management in the public sector with specific reference to office-based educators. It will open opportunities for future research in the process.

1.9 Ethical considerations

Goddard and Melville (2001: 49) warn against causing physical and psychological harm when collecting data from people, and advise that respect and privacy must at all times be guaranteed. Krauss (2005: 764) advises the researcher to avoid imposing his or her views, to set aside any preconceived knowledge, and to be open, sensitive, and empathetic to the participants' responses. Although subjective understanding was expected through the exchange of ideas and interaction, an agreement between the researcher and participant should be reached within the data analysis process itself. Qualitative researchers are also encouraged to identify and state their own biases, values, assumptions, and personal background that may shape their interpretations during the study (Creswell, 2009: 177,196). Nonetheless, the extent to which characteristics of the researcher will play a role in, or influence data analysis, cannot truly be known. How conclusions are drawn from the interpretive, intuitive analysis would be

unclear unless researchers describe the method of analysis used and show how the conclusions were drawn from the data.

At the time of the study, I was not in the employ of the NCDOE (I worked at another government department). As for the sample of participants at the Office of the Premier (OTP), where I started as a new employee during the course of the study, I had to take special care to ensure that collegial relations do not affect the credibility of the study. As a new employee at OTP, I was relatively unknown to other employees and held no position of authority over any of the participants sampled. Collegial relations have the potential to lead to the Hawthorne effect (alteration of behaviour by the subjects of a study due to their awareness of being observed) and personal bias (Maree, 2018: 45). As I was subjected to the public performance management systems at the time of the study, I had to ensure that my personal preferences and bias do not affect objectivity in the study. Cohen, Manion and Morrison (2018: 121) refers to dilemmas researchers may face in terms of whether to serve the agendas of insiders (participants, sponsors) or outsiders (researcher, audiences). They are of the opinion that the integrity of the researcher cannot be sacrificed to the insider power. As an insider to the performance management systems in the public service, a professional approach characterised by trust and care (Aluko, Omidire and Mampane, 2018: 141) in a formal setting was necessary to ensure that no personal bias could affect the credibility of the study. All ethical issues were discussed and agreed upon with participants before interviews commenced.

Ethical clearance was obtained from the UFS Faculty of Education's ethics board (UFS-EDU-2013-016). Consent was also obtained from the NCDOE and the Northern Cape Office of the Premier (OTP) to conduct this research. Informed consent was also obtained from participating officials, who were briefed on the purpose and expectations of the qualitative interviews, and assured that harm or risk to them will result as a consequence of these interviews. Confidentiality of interviews were guaranteed, especially in the research dissemination processes. By following these procedures, I conformed to the expectations of voluntary

participation, informed consent preventing harm/ risk to participants (McMillan and Schumacher, 2014: 130-131); (Aluko, Omidire and Mampane, 2018: 143-145); (Cohen, Manion and Morrison, 2018: 122-141). Participants were requested to avail themselves for an hour and a half long interview (maximum). Follow-up interviews were agreed upon to clarify uncertainties that may arise from the initial interview. The ethical considerations were explained and hard copies of consent forms made available.

The date, venue and time for interviews were agreed upon between the researcher and the participants beforehand. Participants were not forced to respond to questions which they found offensive and confidentiality was guaranteed. Participants knew beforehand that interviews would be recorded and that feedback on transcriptions would be given to them on request. Interview recordings and transcriptions are saved in a protected folder on SD Card and locked inside a safe for a period of five years after this study.

1.10 Referencing technique

All sources used were duly acknowledged using the *Exeter Harvard in-text referencing style, as imported into Microsoft Word 2016. A complete bibliography is automatically generated from the in-text references, using the same imported *Exeter Harvard style. Consistent formatting was used as per Microsoft Word 2016.

1.11 Layout of chapters

Chapter 1

This chapter covered all aspects relating to the research problem and approach to the study, including;

- Introduction/ Background to the Research Problem

- Rationale and statement of the Problem
- Research Questions
- Aim of the study
- Theoretical framework
- Research Methodology
- Value of the Research
- Ethical considerations
- Referencing technique
- Layout of Chapters

Chapter 2

This chapter is devoted to expounding on the theoretical frameworks, the research methodology employed, and data gathering and interpretation methods used. This is done against the backdrop of the specific circumstances surrounding performance management in the Northern Cape Public Service.

Chapter 3

Presentation and analysis of literature reviews forms the basis of this chapter. Literature clarifying relevant concepts underpinning employee performance is introduced in this chapter. Literature that augments the statement of the problem is also included in this chapter.

Chapter 4

PMDS is compared with the Employee Performance Management System (EPMDS) for employees appointed under the Public Service Act no 103 of 1994, as well as other relevant government documentation. This is done against the backdrop of the governmental performance management cycles.

Chapter 5

This chapter is devoted to the presentation and analysis of data derived from literature review, document analysis and semi-structured interviews.

Chapter 6

Utilising the information acquired from chapters 3, 4 and 5, an approach to employee performance management is proposed for office-based educators.

Chapter 7

A summary of the research findings is concluded and recommendations presented. Opportunities for further research are also identified.

1.12 Glossary of terms

The following terminology is central to organisational and employee performance management. Clarifications were drawn from the Framework for Strategic Plans and Annual Performance Plans, PMDS and EPMDs. Some of these concepts form the basis of discussion in the Literature review.

	Terminology	Description
1	Activities	The processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes. In essence, activities describe "what we do."
2	Annual performance assessment	The annual measurement, rating or appraisal of employee performance.
3	Annual Performance Plan	A one-year plan derived from, and giving life to, the strategic plan by translating the strategic objectives identified in the strategic plan into key result areas and activities with measurable standards, for a particular year for the Department, Branches, Chief Directorates and Directorates.
4	Competency	A particular mix of knowledge, skills and attributes required to perform a job/ task/ role.
5	Employee	An appointee in terms of Basic Conditions of Employment Act and other relevant legislation
6	Generic Assessment Factor (GAF) and Core Management Criteria (CMC):	An element used to describe and assess aspects of performance, taking into consideration knowledge, skills and attributes, applicable to all levels.
7	Impact	The results of achieving specific outcomes, such as reducing poverty and creating jobs.
8	Inputs	All the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work." They include finances, personnel, equipment and buildings
9	Job Description	A job description is an internal document that clearly states the essential job requirements, job duties, job responsibilities, and skills required to perform a specific role.
10	Key Result Area/Key Performance Areas (KRA/KPA):	An area of a job in which performance is critical for making an effective contribution to the achievement of departmental strategies, goals and objectives.

	Terminology	Description
11	Moderation	The review of employee assessment scores by a committee to ensure consistency and fairness across the department through a common understanding of performance standards required at each level of the rating scale, and to assist in complying with the requirement that expenditure on bonuses should not exceed 1.5% of the remuneration budget and 2% of the wage bill.
12	Operational Plan	This one-year plan is derived from and gives life to the strategic plan by translating the strategic objectives identified in the strategic plan into key result areas and activities with measurable standards, for a particular year.
13	Outcomes	The medium-term results for specific beneficiaries that are the consequence of achieving specific outputs. Outcomes should relate clearly to an organisation's strategic goals and objectives set out in its plans. Outcomes are "what we wish to achieve."
14	Outputs	The final products, or goods and services produced for delivery. Outputs may be defined as "what we produce or deliver." The provincial EPMDS document refers to a concrete result or achievement (i.e. a product, action or service) that contributes to the achievement of a key result area.
15	Pay progression	Means progression to a higher notch within the same salary level/scale.
16	Performance	Performance is a process in which resources are used in an effective, efficient and productive way to produce results that satisfy requirements of time, quality and quantity, and which are the effect or outcome of the actions or behaviour of a performer in the work process.
17	Performance agreement	A document agreed upon and signed by an employee and his or her supervisor, which includes a description of the job, selected KRAs and GAFs/CMCs, a work plan and the employee's personal development plan.
18	Performance bonus/ incentive	A performance bonus is a financial award granted to an employee in recognition of sustained performance that is significantly above expectations or outstanding performance and is rated as such in terms of the rating scale.
19	Performance cycle	A 12-month period, for which performance is planned, managed and assessed. It must be aligned to the same period as the Department's annual business plan i.e. 1st April to 31st March of the following year

	Terminology	Description
20	Performance incentives	A set of (a) financial rewards linked to the results of performance appraisal, including pay progression, performance bonus, and (b) a variety of non-financial rewards that may be contained in the departmental performance incentive scheme.
21	Performance indicator	A measure used to gauge the extent to which an output has been achieved (policy developed, presentation delivered, service rendered).
22	Performance review	A structured and formal, biannual assessment between supervisor and employee to monitor progress, resolve problems and adjust work plans during the performance cycle, thereby providing an opportunity for improvement before the annual assessment takes place
23	Performance standard	Mutually agreed criteria to describe work in terms of time-lines, cost and quantity and/or quality to clarify the outputs and related activities of a job, by describing what the required result should be. In this framework, performance standards are divided into indicators and the time factor.
24	Performance standards	Express the minimum acceptable level of performance or the level of performance that is generally acceptable.
25	Performance targets	Express a specific level of performance that the organisation, programme or individual aims to achieve within a given period.
26	Personal development plan (PDP)	A requirement of the performance agreement whereby the important competency and other developmental needs of the employee are documented, together with the means by which these needs are to be satisfied and which includes time lines and accountabilities.
27	Portfolio of Evidence/ Supporting evidence	Means a proof that must be submitted to substantiate the level of achievement in relation to the KPA.
28	Provisional assessment rating (PAR):	An employee's total assessment rating score that has been agreed upon between the employee and her/his supervisor
29	Rating/ score	The allocation of a score to a KRA/KPA, a GAF/CMC and/or to overall performance in accordance with the five-point rating scale.
30	Remuneration Bill	Means all personnel expenditure; therefore includes salaries (basic and total packages), employer's contribution to the GEPF, medical aid contributions, service bonuses, home owners allowances, as well as other allowances payable to employees serving Executing Authorities) – in other words, the total remuneration budget for the financial year.

	Terminology	Description
31	Strategic planning	The process by which top management determines the overall strategic direction and priorities, as well as the organisational purpose and objectives and how they are to be achieved.
32	Subordinate	A person under the authority or control of another within an organisation.
33	Supervisor	An official responsible for the allocation of work, monitoring of activities, discussing performance and development, and conducting quarterly performance reviews/assessment and annual performance appraisal of an employee.
34	Wage Bill	For purposes of pay progression, consists of the combined total of the employees' salary notches, the employer's contribution to the GEPF and service bonuses (for total cost to employer package employees, this refers to the total package).
35	Work plan	A document which is part of the performance agreement and which contains key result areas/key performance areas, associated outputs/activities and their performance standards/indicators and resource requirements.

Chapter 2. Theoretical framework and research design

2.1 Introduction

This chapter gives a broader clarification of my predisposition towards a particular approach to this study. I will expound on theoretical frameworks and research designs and in the process the following broader question is responded to:

1. Which theoretical lens and methodology would best respond to the research question?

In responding to this question, I provide deeper insight into my understanding of theoretical frameworks and resultant methodologies in order to justify my choices.

2.2 Theoretical framework

2.2.1 Background

In order to justify the choice of theoretical framework, I briefly explain the evolvement of different paradigms in order to clarify why my chosen lens best suited the objectives of this study. Furthermore, I clarify operational concepts central to the theme of study.

All scientific research should be approached from a specific point of view which lead to achieving its objectives. This specific viewpoint is referred to by the term “paradigm”. Thomas Kuhn, credited with coining the phrase “paradigm” (Sefoto and Du Plessis, 2018: 21) characterises it as: “An integrated cluster of substantive concepts, variables and problems attached with corresponding methodological approaches and tools...” (Dash, 2005).

Karl Popper and Thomas Kuhn present different views on the development of scientific research. Whilst Popper states that science grows in an evolutionary way, Kuhn argues that any period of normal science will inevitably be followed by a scientific revolution where the dominant science is rejected (Mouton, 1996: 15; Terre Blanche and Durrheim, 1999: 4). This would explain the existence of different paradigms wherein researchers can find resonance for their specific research approach.

Traditionally, only two paradigms (positivism and anti-positivism) are distinguished (Dash, 2005; Mouton, 1988: 2; McGregor and Murnane, 2010: 5), but the more popular trend is a description of evolution from positivism to anti (post)-positivism to post-modernism. I briefly discuss the main traits of these paradigms and motivate why each is suitable or not suitable for my research.

2.2.2 Positivism

The origin of positivist views is usually credited to Descarte (Common Paradigms, n.d.), but according to Dash (2005) and Willis (2007: 12), the positivist paradigm of exploring social reality is based on the philosophical ideas of the French philosopher August Comte. Comte emphasised observation and reason as means of understanding human behaviour, and attribute the attainment of true knowledge to observation and experiment. This scientific method of knowledge generation forms the basis of positivism. This objectivist approach to studying social phenomena is linked to an empirical methodology and research methods focusing on quantitative analysis, surveys, experiments and so forth. The emphasis is on what can be observed or measured, and not hidden intentions or underlying motives of human behaviour (Mouton, 1988: 3); (Henning, 2004: 17). It is my view that dissatisfaction with a performance management system might not be difficult to measure scientifically. However, one may not get to the underlying causes of dissatisfaction with quantitative methods. Henning (2004: 17) refers to an empiricist theory of knowledge in positivism that excludes personal insight.

Furthermore, after determining the extent of dissatisfaction, there would be little room to provide for possible solutions and interventions.

2.2.3 Anti-positivism

Following the argument of Kuhn that any period of normal science will inevitably be followed by a scientific revolution where the dominant science is rejected, anti-positivism evolved. Whilst positivism is characterised by objectivity, measurability, predictability, controllability and constructs laws and rules of human behaviour, anti-positivism emphasises understanding and interpretation of phenomena (Dash, 2005). Knowledge is personally experienced rather than acquired or imposed from outside. Contrary to the objectivist approach of positivism, anti-positivism has a subjectivist approach to studying social phenomena, and uses research techniques focusing on qualitative analysis, e.g. personal interviews, participant observations, account of individuals and personal constructs. It is here where interpretivism finds its home.

2.2.4 Post-modernism

Continuing with Kuhn's argument that new paradigms evolve as a result of criticism or revolt against existing paradigms, a third main paradigm arose that Henning (2004: 22-23) reckons is the undoing of positivism and post positivism, namely post modernism or critical theory. Critical theorists argue that earlier paradigms were not tuned to question or transform the existing situation (Dash, 2005). Macleod (2009) points out that whilst positivism is concerned with data and constructivism/ anti- positivism with the participant's point of view, critical theory is all about power and politics. Henning (2004: 22) concurs stating that "some relationship are more powerful than others" and focus should be on promoting critical consciousness and breaking down institutional structures that reproduce oppressive ideologies. It not only examines processes that maintain unequal power relations, but also attempts to shift the balance of power to become more

equitable. Emancipation of the oppressed is the ultimate goal. In terms of methodology, critical theorists promote ideology critique and action research, for undertaking research work. The emphasis is on participation, involvement, collaboration and engagement. There is a leaning towards anti-positivism in terms of analysis (historical, situational, textual) and qualitative interviewing. It is here where critical community psychology finds its home.

2.2.5 Determination of theoretical lens

For this study, I reviewed the different paradigms of research, made a choice in this regard and then explored the different methods applicable to my choice in order to make an informed decision. McGregor and Murnane (2010: 4) note that positivism, post-positivism and post-modernism qualify as research paradigms with attendant methodologies (quantitative and qualitative). It is my opinion, the mere gathering and dissemination of statistical information will NOT assist in attaining the objectives of this research. As per stated objectives, I sought to get to the underlying reasons for the perceived dissatisfaction amongst office-based educators, and in the process, gathered information on what the respondents regarded as a “workable” approach for them. This will require face- to- face interaction using semi- structured questions, which lends itself to follow- up questioning. Such a scenario is not congruent with the tenets of positivism.

In order to extract the deeper meaning that the community of office-based educators attach to PMDS, I diverted away from positivist approaches. I worked from the assumption that the experiences of office-based educators on PMDS are subjective but real, and should be understood by direct interaction with them. I concur with Willis (2007: 6) on the assumption that humans are influenced by their subjective perception of their environment. As interpretive research relies on first-hand accounts described in rich detail (Terre Blanche and Kelly, 1999: 124), an **interpretive** lens in terms of methodology was ideal for this research.

Willis (2007: 95) refers to a close relationship between interpretivism and critical theory. Kilgore (1998), in Willis (2007: 82), best describes the relationship between critical research and interpretivism with the following;

“Critical research begins with identifying a specific organisation of people whose needs are not satisfied within the current system, and who are willing and able to put research findings into practice. Researchers then enter the participants’ world to gain an interpretive understanding of their intersubjective meanings; ...”

The community of office-based educators may be dissatisfied with the current PMDS system, but must show a willingness to put research findings into practice. Merriam (2002: 4) states that the qualitative researcher might also be interested in how larger contextual factors affect the way individuals construct reality. Thus, from a critical social theory perspective, one can consider how power, privilege and oppression play out in a social context or workplace. Swart, in Duncan, Bowman, Naidoo, Pillay and Roos (2007: 188), define "power" as the ability to influence, force or punish others from a status position in an organisation. A supervisor is in a position of power when conducting PMDS with an official to be appraised. This may bring psychological aspects into play. In the context of this research, Fynn (2011: 50) notes that community psychology actively focuses and engages organisational structures that maintain patterns of unequal power distribution, which leads to oppression.

Willis (2007: 81) notes that critical theory focusses on the impact of power relations. Critical community psychology gives this study the theoretical justification to include the use of literature on; power relations in the workplace, the psychology of coercion, and the motives for taking part in a system which is subjective by nature. According to Levine and Perkins (1997: 4), for psychology to be relevant and useful for the solution of problems, the historical, social, economic and political context has to be taken into account. A critical community psychology framework justifies the need to understand why policy ideals and

implementation realities do not always match in practice. A psycho-political lens offers interpretive schemes that assist in offering interpretations that one would not usually find in a management study such as this one.

Dalton, Elias and Wandersman's (2007: 11-16) aptly describe community psychology as the relationship of persons and context. Where context can affect personal life, persons can influence and change context. They explain further that, contrary to the traditional view of psychology, community psychology seeks to understand and improve the individual within his/her community/ social context. Cohen, Manion and Morrison (2018: 19) also notes concern for the individual as a characteristic of interpretivism – another communality with community psychology. As community psychology concerns multiple relationships between individuals and communities, the individual cannot be understood in isolation.

In exploring explanations for the human components of the current PMDS systems' successes and failures, I adopted critical community psychology tenets. Values underlying critical community psychology served as guidelines for my scholarly disposition in this research. Of these values, community participation and empowerment (Nel, Lazarus and Daniels, 2010: S18), as well as personal empowerment and prevention, as noted by Lazarus (Duncan et al., 2007: 69-70), are specifically relevant to this study.

From the above discussion, it is clear that there is an overlap in approach between Interpretivism and Critical Community Psychology that would address the systems - as well human elements of the research problem. I now address the principal tenets surrounding the theoretical frameworks of this study.

2.2.6 Interpretivism

2.2.6.1 Historical Background

The move away from positivism in the mid-20th century was towards presenting the reality of participants from their own views, which were mostly descriptive studies (Henning, 2004: 19). Interpretivism is a descriptive name for an approach that uses social constructions such as language, interactions and instruments to give meaning to the ("interpret") observed reality (Research methodology, n.d.). Interpretivism provides for subjective experiences that cannot be quantified or objectively observed (Sefoto and Du Plessis, 2018: 25-26). This philosophy evolved in opposition to "positivism" or objectivism. The search for meaning (interpretation) of data, is thus often subjective. The term "Interpretive research" is often used synonymously with qualitative research. Interpretivism utilises naturalistic approaches of data collection such as interviews and observations.

The most noteworthy variations of interpretivism include the following: (Research methodology, n.d.)

- Hermeneutics, which is a reference to the philosophy of interpreting and understanding phenomena. It has very little relevance to business studies, as the focus is mainly on biblical texts.
- Phenomenology, which seeks to understand the world through direct experience of phenomena.
- Symbolic interactionism, which accepts symbols as the means by which reality is constructed.

All three variations of Interpretivism mentioned above, speaks to interpretation and understanding of literature and phenomena related to the topic.

2.2.6.2 Principles and Objectives

The main disadvantages associated with interpretivism relate to the subjective nature of this approach and the great room for bias by the researcher. Primary data generated in interpretivist studies cannot be generalised since data is heavily impacted by personal viewpoint and values. Therefore, reliability and representativeness of data is undermined to a certain extent. According to Henning (2004: 20), the interpretive researcher will explore various sources of data and analysis methods in order to strive for validity. I concur with Henning on the use of various data sources and analysis methods to ensure validity of information, and included a literature review, document analysis and semi-structured interview as sources of data in my research design. Henning elaborates that knowledge is not only constructed by observable phenomena, but also by descriptions of people's intentions, beliefs, values and reasons, making interpretivist research a communal process informed by participating practitioners. This statement confirmed my belief that an integrated approach with critical community psychology will be viable for his research.

On a positive side, thanks to the adoption of interpretivism, qualitative research areas, such as cross-cultural differences in organisations, issues of ethics, leadership and analysis of factors impacting leadership can be studied in great level of depth. Primary data generated via Interpretivist studies might be associated with a high level of validity because data in such studies tends to be trustworthy and honest.

2.2.7 Critical Community Psychology

Critical community psychology is discussed and, in particular, why it is suitable as a conceptual framework for this particular study. To contextualise this choice, it is important to sketch the evolution of this framework and its relation to the problem statement.

2.2.7.1 Historical Background

Kuhn's theories on the evolution of paradigms, as a result of crises and revolutions, can be traced to the development of specific disciplines. Fox et al., (2009: 4) views mainstream psychology's mandate to promote human welfare as very narrow, and riddled with many negative consequences. Dissatisfaction with the clinical psychology tendency to locate mental health problems within the individual (Perkins, 2011), and clinical psychology's inability to address broader social issues (Fondacaro and Weinberg, 2002: 474) led to the emergence of community psychology. The origins of community psychology can be traced back to the events leading up to and culminating into the Swampscott Conference of 1965. Numerous examples, however, prove that the Swampscott Conference was not the birthplace of Community Psychology, but rather the place where the name was formalised (Reich et al., 2007: 417). Levine and Perkins, in Banyard and Miller (1998: 486), state that the field evolved out of a commitment to address the problems of marginalised communities, and an interest in a prevention rather than cure approach to addressing these problems. Fryer and Laing (2008: 8) point to the diversity of community psychology in different settings as it is a product of time, place and conditions of constructions. Although community psychology did not break into a separate discipline at the time, nor sought accreditation for its programmes, a separation from the medical model was looming (Iscoe and Smith, 2005: 28). Naidoo (2000: 8-9), posits that community psychology does not constitute a new paradigm or separate discipline as such, but still incorporates some traditional counselling concepts. It offers practitioners guidelines for a broader range of mental health services to diverse client populations and settings. Fondacaro and Weinberg (2002: 475) attribute the "critical" designation to psychology, to its criticism of mainstream psychology's conceptions of human action and experience. Lewis, et al (1998) in Naidoo (2000: 9), provide an apt definition of community psychology in the following:

"Community psychology is a comprehensive helping framework of intervention strategies and services that promote the personal development and well-being of all individuals and communities"

In the South African context, other groupings or labels that emerged as an alternative to or an elaboration of traditional clinical psychology include; contextual psychology, critical psychology, indigenous psychology, progressive psychology, and social psychology (Naidoo, 2000: 6). Lazarus and Seedat (1995), in Naidoo (2000: 8), identifies four purposes of community psychology in response to a shift away from an individualistic, victim blame position; towards an acknowledgement of the social context of people in a multilevel analysis and intervention approach. The four purposes are:

- i. The extension of mental health services to all citizens;
- ii. A transformed conceptualisation and understanding of psychosocial problems;
- iii. Contextual analysis of psychological service delivery to include prevention initiatives;
- iv. A broader role for psychologists in the public health portfolio that would include aspects such as community networking.

Lazarus and Seedat 's (1995) viewpoints were mainly aimed at uplifting the historically unserved and oppressed sectors of South African society.

The main difference between clinical psychology and community psychology is located in the former's focus being mainly on solving individual problems, whilst community psychology diverts attention towards understanding the social issues within a community concept that is the cause of problems in the first place. Although Naidoo (2000: 6-7) acknowledges the merits of interventions at individual level, community psychology's focus on promotion of general well-being is, by and large, located in prevention of problems. In its attempt to empower people within their social set up, and to promote social change and diversity, community psychologists are called upon to be agents of social change that the community wishes for. Other criticism lodged against mainstream psychology relates to its inaccessibility, unaffordability, inadequacy, and discriminatory nature in cross cultural settings (Naidoo, 2000: 6-7).

2.2.7.2 Principles and Objectives

According to Fryer and Fagan (2003: 90), community psychology is concerned with the understanding of community based problems in the contexts within which the problems occur, aimed at intervention to prevent or reduce those problems. Multilevel forces from various sources, including organisational, impinge on the ability of the individual to effectively perform in a particular setting.

The main principles and objectives of community psychology that are relevant to this study are discussed next.

2.2.7.2.1 Intervention

Fagan and Fryer (2003: 90-91) observe that community psychology should also be committed to intervening to prevent or reduce psychological problems. Through problem driven research, they should understand the processes of disempowerment and seek to shift the balance of power. Wherever dissatisfaction is perceived, a problem can be identified which demands intervention. Continuous dissatisfaction with the current PMDS cannot be tolerated forever. This study can also be perceived as a form of intervention in an untenable situation.

2.2.7.2.2 Empowerment

One of the goals of community psychology involves empowerment of individuals and communities that have been marginalised by society. According to Fagan and Fryer (2003: 90), community psychologists should work towards equalising the balance of power in an unequal relationship. Francescato (2005: 39) posits that empowerment processes should pay attention to both psychological and socio-political aspects. A community psychology perspective should promote self-efficacy and psychological awareness of power dynamics in one's settings, and promote participatory social competence and active participation in civic and

political organisations. Office-based educators should be empowered to know what their rights and responsibilities are, should power dynamics play itself out during the PMDS processes. Empowerment can be done through capacity building processes, or through limiting the possibilities of dominance by one official over the other; noting that the supervisor may not necessarily be the dominant player in power dynamics. Therefore, I cannot only investigate the problem statement in terms of flaws within the PMDS as a policy document, but also from the view of possible manipulation by the human implementers of the system.

2.2.7.2.3 Prevention

According to Perkins (2011: 1), community psychologists try to prevent problems before they start and also advocate social rather than individual change. In the case of this study, a problem was already identified for which a solution in the form of a possible approach was recommended. These solutions seek to prevent repetition of issues that cause dissatisfaction in the first place.

2.2.7.2.4 Participation

As mentioned before in this chapter, the community of office-based educators should not just demonstrate active revolt, but must be active participants in the quest for solutions, and show a willingness to put research findings into practice. Participation can be solicited and executed using methods such as interviews.

2.2.7.2.5 Social Justice

If social justice can be described as "the fair and proper administration of laws conforming to the natural law that all persons, irrespective of ethnic origin, gender, possessions, race, religion, etc., are to be treated equally and without prejudice" (Businessdictionary, n.d.), it should not be difficult to establish a connection with

community psychology. A core value of critical community psychology is seeking social justice through research and action. Critical community psychologists are often advocates for equality and policies that allow for the wellbeing of all people, particularly marginalised populations. Community psychologists should be active in the development and analysis of policies that affect these populations (Nel, Lazarus and Daniels, 2010: S23). According to De Klerk (2004), in Nel, Lazarus and Daniels (2010: S22), policy analysis entails providing information, analysis and advice, including measuring the effects of policy implementation against its intentions. The fair and proper implementation of policy, is critical towards achieving social justice. Currently, social justice in PMDS is pursued by an ongoing process of lodging disputes and grievances which must be solved.

2.2.7.2.6 Diversity

Diversity means appreciating the variety of contexts in which people live (Banyard and Miller, 1998: 489). Community psychology, and in particular the notion of social justice, means the embracing of diversity in a social context (Nel, Lazarus and Daniels, 2010: S19,S27) (Martin, 2005: 10). As PMDS is a uniform scheme to be implemented in a one - size - fits - all fashion, it is interesting to note how it accommodates diversity. Diversity could represent in the form of hierarchy in the organisation, and the abuse of power by individuals as allowed by the system. Employees at different salary levels can interpret PMDS and the performance of fellow employees differently (unintentionally or deliberately), which influences the outcome of performance for the individual employee and for the organisation.

2.2.7.2.7 Wellness

Psychology is, in general focussed on mental wellness (Watts and Serrano-Garcia, 2003: 75). This wellness is often seen in an individual sense. This focus on individual wellness is still present in community psychology. Promotion of individual wellness certainly contributes towards community wellness. Important

to note though, is that the emphasis is not so much on wellness in a medical sense. In terms of this study, wellness refers to community wellness and its effect on organisational functioning (Angelique and Culley, 2007: 44).

2.2.7.3 Relevance to the study

One cannot assume that dissatisfaction with performance management schemes is, by default located in the design of the scheme. If a perfect scheme is ever developed, it may still be dogged by human interaction dynamics such as power relations and misunderstanding. These dynamics are closely related to aspirations of critical community psychology, such as empowerment and emancipation (Nel, Lazarus and Daniels, 2010: S18), (Naidoo, 2000: 9). Improved understanding of the scheme, as well as roles and responsibilities and consequences, can be empowering and possibly lead to successful implementation.

Performance management has an intrinsic human element to it- it is developed and implemented by humans (Hunt, 2005: 31). Human interaction dynamics can be instrumental in the failure of good systems and therefore a critical community psychology approach is plausible to bring the human introspection aspect into why some employee performance management systems succeed and others fail. Bacal (1999: 12) places the understanding of the reasons for performance management and what makes it work, as a prerequisite for its successful implementation. He adds a good understanding of basic psychology as a prerequisite to assist with addressing the human elements such as relationships, which are vital components to the successful implementation of employee performance management (Bacal, 1999: 12).

Another pertinent question that comes to mind is whether the problem statement reveals anything that warrants intervention of a psychological nature? First and foremost, one must ascertain if indeed a social problem exists within the community of office-based educators. The performance management and

development scheme for office-based educators lends itself to assertion of power, disempowerment, disillusionment and many more elements that fall within the post modernism paradigm, within which critical community psychology resides. As is apparent from the problem statement, the implementation of the scheme causes dissatisfaction of sorts, which may or may not affect performance/ motivation and other psychology related aspects. Furthermore, power relations manifest in a variety of settings and forms, like the capitalist power of the labourer, interpersonal exchanges and resistance. People in positions of power are often privy to knowledge which they use to their advantage. Bagarette (2012: 97) cites a typical example of a principal who has intensive knowledge of a school and education related matters, against members of the school's governing body (SGBs) who might not have such knowledge. However, the South African Schools Act places considerable power and authority in the hands of the SGBs (Bagarette, 2011: 224). Principals, who are placed in a subordinate position, may feel disempowered and threatened. The potential for conflict in such a scenario is huge. Fox et al. (2009: 10), are of the opinion that attention should be diverted away from sources of elite power and privilege. How to effectively do that, is the part of the problem that is not addressed adequately in available literature. It is certainly worth investigating how abuse of power and privilege can, at least, be reduced in an existing system.

Successful implementation of employee performance management in any organisational or community set up depends on two main factors; the design of the scheme on the one hand, and the commitment of the implementers on the other hand. Problems with regard to performance management are not new, and many studies have been executed through similar or different theoretical lenses. The choice of critical community psychology would raise eyebrows if one is to assume from the title of this study, that it should just have an education management approach to it. However, the role of the human implementers cannot be discounted and, in my opinion, this study needed to be approached through a theoretical lens that would do justice to their role. As other researchers in this field, I could have approached this study in a uni-directional way, focussing on the management aspects of performance management. Instead, I opted to address

the scheme deficiencies and successes on the one hand, and problems and resultant consequences attributed to the implementers on the other hand.

Psychology, in the main, is almost always linked to human well-being (Perkins, 2011). Although the implementation of the performance management system for office-based educators is apparently the source of dissatisfaction for some of the officials it is meant to serve, a medical model of psychology will not be helpful in addressing the problem. The participants in the scheme need to be addressed within their area of operation. The emergence of a new line of thought in the field of psychology in the mid nineteen sixties offers an alternative lens to approach the problems experienced by the community of office-based educators. Communities can be defined as social groups with common boundaries, values, beliefs, practices and cultures (Duncan et al., 2007: 10), and with shared interests and a common fate (Whitehead, 2002: 3). Community psychology posits an ecological perspective that views behaviour in the geographic, socio-cultural and historical settings, within which it occurs (Banyard and Miller, 1998: 487). Office-based educators qualify as a community in their own right, working in a geographically defined area towards common objectives. The attainment of those objectives is dependent on human interaction. PMDS has the potential to sour human relations, and thus influence the successful achievement of common objectives. The performance management system can be approached through an interpretive lens, but the human role in the implementation thereof will yield better insight from a community psychology perspective.

2.3 Methodology and related methods

The response to the question on how this research was approached brings the terminology of methodology and methods into question. Although at times used interchangeably by various authors, there is a distinct difference between methodology and methods. Methodology is the study of a method or methods and how knowledge is gained. Methodology details the way in which researchers search for knowledge (Terre Blanche, Durrheim and Painter, 2006: 8) and can be

seen as the way in which knowledge is gained. A method, however, refers to the various steps or stages you take you take to complete the research task (Mouton, 1996: 36). Therefore, research methods speak to the tools, techniques or processes that we use in our research, e.g. surveys or interviews. The scope of methodology is much wider and therefore; we can regard a method as a part/ component of methodology (Kothari, 2004: 8). A researcher will thus, study different ways of gathering information (methodology) and decide on one method which would be best suited for his/her study.

Maxwell (2005: 3) gives excellent advice on the design of a qualitative study when he states that one cannot develop a logical strategy in advance and implement it rigidly, but there should be constant interaction between the different design components. Merriam (2002: 4) postulates that the key to understanding qualitative research lies in that meaning is socially constructed by individuals in their interaction with their world. The interaction with employees who participate in performance management systems is probably the most critical aspect of data gathering.

For this study, I will use literature reviews, document analysis and semi-structured interviews. As part of the triangulation of data, findings from the literature study and document analysis were used to inform the structure and content of questions to participants, in order to respond to the aims and objectives of this research.

2.3.1 Literature study

Booth, Papaioannou and Sutton (2012: 70) agree with Welman, Kruger and Mitchell (2005: 38-39) that literature reviews can reveal important facts, inconsistencies and gaps that would warrant further investigation. A literature study on performance management, with the aim to obtain a core set of practices that could be incorporated in a suggested approach, complements all other

observations. This includes comparative literature on employee performance management systems in the private sector.

2.3.2 Document analysis

A study of the current PMDS system as per Education Labour Relations Council (ELRC) Collective Agreement 3 of 2017, is done and analysed against the Employee Performance Management System (EPMDS, 2018) for public servants. As both these policies were reviewed during the study, I saw it fit to also bring their predecessors into the fray, as officials would have had more experience on those. Office-based public servants work side-by-side towards common goals at the NCDOE, but are evaluated under different performance management systems. Workable practices from these systems are highlighted and complemented with information gained from semi-structured interviews and generic literature on performance management, in order to suggest an approach to performance management.

Document analysis also included analysing government policies and procedures as they pertained to Monitoring and Evaluation of government performance. This was done to ascertain if there is a link between employee performance and organisational performance at NCDOE. The inclusion of the Human Resource - and Policy and Planning/ Monitoring and Evaluation components of NCDOE in this study was thus inevitable.

2.3.3 Semi-structured interviews

Brenner, Brown and Canter (1985: 3) describe an interview as interaction in which two or more people are brought into direct contact with each other. The purpose of the interview is then to ensure that at least one (preferably both) of these people will learn something from the other one through this interaction. A “view” on a specific topic will be developed by the people interacting with each other through

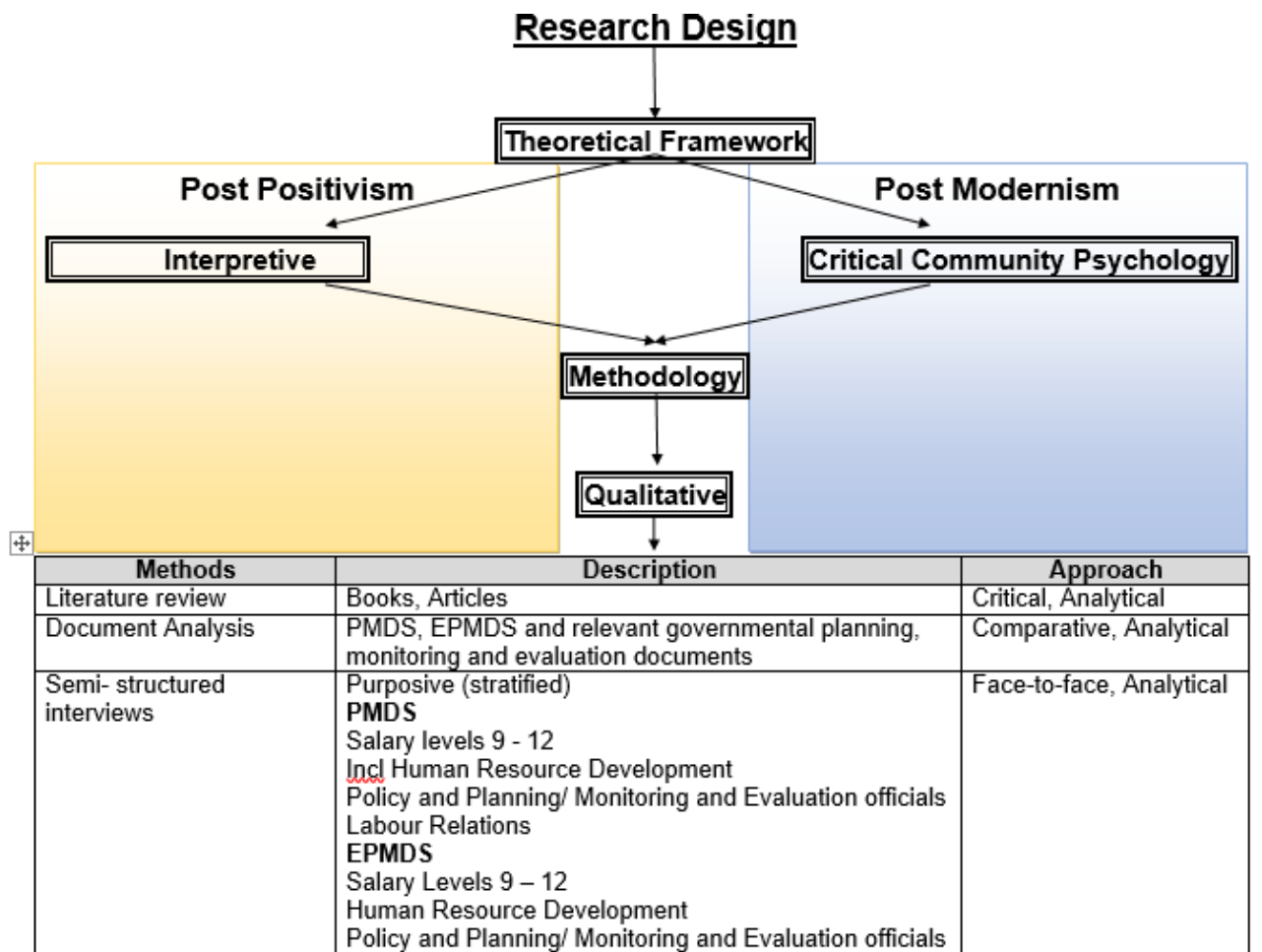
question and answer process (Brenner, Brown and Canter, 1985: 148). The reliability and validity of the information gathered, can be influenced by factors such as number of participants, scope of questions, length of interview and format of questions (Brenner, Brown and Canter, 1985: 5). As opposed to filling in questionnaires, the aspect of personal contact has an intimidating potential to the person to be interviewed. I also took heed of Henning's (2004: 53) advice not to ask leading questions or force the participant into a confessional mode, to prevent contamination of data. Therefore, the pressure reverts to the interviewer to produce a conducive milieu that would ensure that the objectives of the interview are realised reliably.

The perceptions of participating office-based educators and other public servants on employee performance management were analysed using semi-structured interviews. Dalton, Elias and Wandersman (2007: 105) regard interviewing small numbers of participants as increasingly becoming a qualitative research format in community psychology. They also list several advantages interviewing has over participant observation, such as more standardised data collection, limiting bias of selective participation, memory and interpretation of information.

2.4 Schematic representation of research design

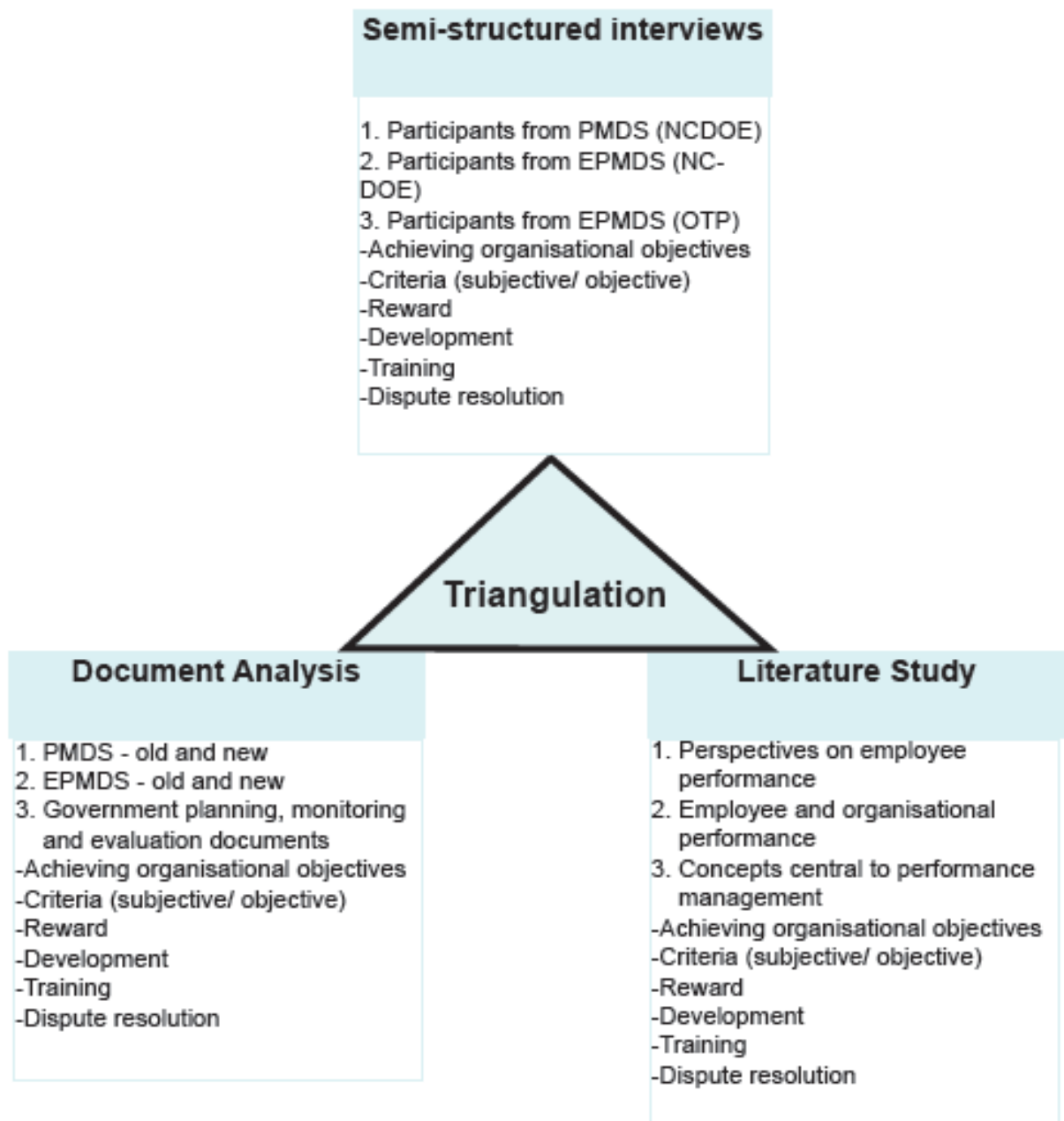
The preceding discussion provides the background for my chosen research design. The following self-designed illustration summarises my research design as ideal for this research:

Figure 2: Research design



Working through chapters 3 (Literature review) and 4 (Document analysis) will uncover topical themes and questions to pursue for semi-structured interviews (chapter 5). The triangulation of information gathered from different sources will enable me to suggest an approach for the implementation of employee performance management for office-based educators. According to Terre Blanche and Durrheim (2004) and McMillan and Schumacher (2001), in Maree and van der Westhuizen (2009: 34), triangulation is essential to ensure interpretive validity and data trustworthiness. The following self-designed diagram illustrates the inter relationship between the three types of data collection:

Figure 3: Triangulation of data



2.5 Qualitative data: Selection of participants

2.5.1 Sampling

I agree with Daniel (2012: 14) that the qualitative researcher is not interested in estimating population parameters, but rather in selecting population elements that are most useful in providing rich information on the topic of study. Miles and Huberman (in (Welman, Kruger and Mitchell, 2005: 204), agree that qualitative samples tend to be more purposive than random, as is the case with quantitative

research. The reason given for this is that qualitative researchers work with limited universes. I used purposive selection as it is a type of non- probability sampling mostly associated with qualitative methods, and which results in the most appropriate selection of participants. Denscombe (2010: 34-35) and Daniel (2012: 8) agree that a purposive selection of participants allows the researcher to use his/her own judgement based on previous experience and relevance to the topic, to purposefully approach individuals to participate. Henning (2004: 71) concurs with Denscombe (2010) and Daniel (2012) that participants must fit the criteria of being knowledgeable on the topic. Some of the strengths of purposive selection compared with other non- probability sampling is that selection bias is less likely, and findings are more generalisable (Daniel, 2012: 92-93). I am confident that the sampling choice rendered external validity to the population it represented. Maree and van der Westhuizen (2009: 30) refer to population validity as a type of external validity referring to the population to which the results can be generalised or inferred. The Human Resource profile of the NCDOE at the time of the study (2018) was as per the table below:

Table 1: NCDOE Human Resource Profile

HUMAN RESOURCE PROFILE OF NORTHERN CAPE DEPARTMENT OF EDUCATION AS AT 06 JULY 2018									
NATURE OF APPOINTMENT	FEMALE				MALE				TOTAL
	A	C	I	W	A	C	I	W	
EDUCATORS (<i>School Based</i>)	3197	2905	7	957	1385	1328	4	261	10044
EDUCATORS (<i>Office Based</i>)	130	94	1	19	97	114	1	14	470
PSA (SL 1-12)	790	805	3	93	488	513	3	7	2702
SMS (SL 13-16)	6	6	0	0	12	11	0	0	35
TOTAL	4123	3810	11	1069	1982	1966	8	282	13251

From Table 1 above, it is evident that office-based educators represent the lowest numbers compared to school-based and PSA officials. One office-based educator per salary level 9-12 was recruited to represent a good mix of supervisors and subordinates as participants. In total, 5 PMDS officials were recruited per salary level for interviewing (three supervisors and 2 subordinates). Included in that

number was a specialist official from the units responsible for the implementation of PMDS and from labour relations; as well as an official from Policy and Planning (also responsible for Monitoring and Evaluation). These officials provided specialist responses and, apart from the general questions, a specific section of questions was directed to them.

In addition, five EPMDS officials from the same salary levels were recruited; two from NCDOE and three from the Office of the Premier (OTP). The reason for including officials from OTP was to get a cross departmental perspective of the implementation of EPMDS. EPMDS officials also included specialist officials from Policy and Planning (OTP), and one each from the Human Resource Development responsible for implementing EPMDS (OTP and NCDOE). These officials were subjected to the same general questions and specific questions.

As I solicited participation from members of sub- categories until a target number (10) of participants was met, the type of purposive selection employed is called “purposive quota sampling” or “stratified purposive sampling” (Daniel, 2012: 103). Table 2 below, depicts the interview plan;

Table 2: Interview plan

Nr	Department	PMDS/ EPMDS	PL/SL
1	NCDOE	PMDS	SL9 (SES)
2	NCDOE	PMDS	SL10 (DCES)
3	NCDOE	PMDS	SL11/12 (CES)
4	NCDOE	PMDS	SL11/12 (CES)
5	NCDOE	PMDS	SL11/12 (CES)
6	NCDOE	EPMDS	SL9 (AD)
7	NCDOE	EPMDS	SL10 (DD)
8	OTP	EPMDS	SL 9/10 (AD)
9	OTP	EPMDS	SL 11/12 (DD)
10	OTP	EPMDS	SL 11/12 (DD)

2.5.2 Data Gathering and Analysis

Apart from soliciting biographical information, interview questions covered the various aspects of PMDS as perceived by participants, with the aim of uncovering aspects which are perceived as positive and those that are causes of dissatisfaction. Follow-up questions ensured clarity around predetermined topics, as well as incidental, but relevant issues. Goddard and Melville (2001: 49) identify the possibility of having follow up questions as one of the advantages of interviews over questionnaires. The qualitative interviews revealed whether poor implementation of PMDS affected the morale and productivity of office-based educators, and whether specific aspects of the scheme were found wanting. Ehrstia (1984) in Lombard (2005: 90) states that staff morale plays a contributory role to productivity. By interviewing supervisors and subordinates, the researcher could unearth the psychological power relations that could cause the manipulation of the system.

Informal, pre-entry discussions were held with public service officials in an attempt to get a broader understanding of dissatisfaction with employee performance management, and to supplement existing questions. All formal interviews were recorded using audio recording media. Responses to questions were also written down in order to formulate follow-up questions. Audio recording was listed as a data capturing source and documentation method, with its verbatim transcription (Maree and van der Westhuizen, 2009: 26). I was personally responsible for the transcription of recorded interviews. I have mentioned that all recordings and transcriptions were saved in a password protected folder and kept in a safe. Thematic analysis was used to determine the recurring themes emerging from the data (Fynn, 2011: 197; Welman, Kruger and Mitchell, 2005: 204). According to Brenner, Brown and Canter (1985: 4), verbal data are susceptible to error in interpretation because of their quantity and variable degrees of structure. I used a deductive data analysis approach to reach the best possible understanding of multiple realities that interpretivism assumes (Maree and van der Westhuizen, 2009: 28). Participants were privy to the themes discerned from their data, and had a chance to point out differences in interpretation.

2.6 Conclusion

I did a thorough analysis of theoretical frameworks and methodologies to support my choices for research design and thus, to respond to the research question of this chapter. Knowledge derived from the empirical interviews, document analysis and literature reviews is used to recommend a suggested approach to performance management of office-based educators. I found triangulation between the three approaches preferable, to ensure a thorough exploration of content.

Chapter 3. Performance management in perspective: A literature study

3.1 Introduction

This chapter is devoted to the first component of the research approach as identified in chapter 1. This chapter responds to the following questions:

1. What information can be derived from available literature on the topic, that can augment the study?
2. What perceptions exist on concepts central to employee performance management?
3. How does employee performance management in the public service compare with employee performance management in the private sector?
4. What are the most common reasons for failure of employee performance management systems?

The last question could uncover that failure of employee performance management systems may not necessarily be because of shortcomings of the systems alone, but may also be related to the implementers thereof. This chapter is devoted to highlighting the most common aspects and pitfalls of employee performance management, as well as best practices that can be considered to improve the current PMDS for office-based educators. As it seems that the public sector is not very successful in implementing an acceptable performance management system for employees, it is a logical step to borrow from workable practices elsewhere, to supplement the positives of the current system. It is also important to dwell on the reasons why employee performance management systems fail sometimes.

3.2 Value of a literature review

Although this research problem was initially conceived from personal experiences and strengthened by newspaper reports, most researchable problems become more apparent through study of previously published historical, theoretical and empirical work. Literature reviews can put research into context by showing how literature fits into a particular field (Kaniki, 1999: 18), and to identify the gap for a particular research (Henning, 2004: 27). Booth, Papaioannou and Sutton's (2012: 1-3) assertion that the researcher may not fully understand his/ her topic and know what has already been researched or is still to be explored justifies the importance of literature reviews when undertaking research.

The following summary of the purpose of literature review by Cooper (1989), Bruce (1994, 1997), Hart (1998) and Galvan (1999), in Booth, et al. (2012: 7) is worth noting:

- to place each work in the context of how it contributes to an understanding of the subject under review;
- to describe how each work relates to the others under consideration;
- to identify new ways to interpret, and shed light on gaps in previous research;
- to identify and resolve conflicts across seemingly contradictory previous studies;
- to identify what has been covered by previous scholars to prevent needless duplication;
- to signpost the way forward for further research; and
- to locate your original work within the existing literature.

Through effective literature review and synthesis, I discovered gaps in literature and in my own knowledge, and the pros and cons of different programmes, policies, techniques and, interventions used in similar environments. I was also able to gauge consistency of findings across multiple studies.

3.3 Concepts central to employee performance management

3.3.1 Performance management

A simple definition of performance is the accomplishment of a task or activity (Riches, 1988: 17). According to the Cambridge Online dictionary (Cambridge dictionary, n.d.)¹, performance management refers to a system for judging how well employees are doing their jobs, and their needs for training. It includes activities to ensure that goals are consistently being met in an effective and efficient manner.

The words "performance management" are usually linked to an approach or system that guides the implementation and outcomes of organisational and individual goals and objectives for a given period. Although the terms "performance review, appraisal and evaluation " are often used interchangeably with performance management, they are merely one facet of the management process (Simons, 2009: 2). For the purpose of uniformity in this study, the term "performance assessment" is mostly used to refer to the evaluation process and instruments used, while "performance management" includes the planning and the implementation of the assessment, as well as the management decisions that follow the outcome thereof. Additionally, the word "organisation" is mostly used to refer to the workplace (department may be used when deemed more appropriate).

Performance management is a work system that begins when a job is defined as necessary and accordingly funded. Werther and Davis (1996: 341), in Simons (2009: 3), provide a simplistic definition of employee performance management as the process by which organisations evaluate individual job performance. Spangenberg (1994: 65-69), in Simons (2009: 2), agrees that performance management is a broad concept and a change to a holistic approach in order to establish situational and organisational factors in a more effective system. Employee performance management thus, includes planning workers'

¹ <http://dictionary.cambridge.org/dictionary/english/performance-management>

performance in line with the achievement of goals and effecting the review of performance so that it is motivational and in line with the objectives of the organisation.

Mohube (2009: 9) is of the opinion that performance management involves translating goals to results with a specific focus on individual employees, teams, programmes, processes and the organisation as a whole. There seems to be a direct link between the terms "performance" and "results", as well as with "output" and "outcomes" (Bouckaert and Halligan, 2008: 14). Swanepoel, et al. (2007: 375), in Tlhogo (2009: 6) allude to how the performance management process significantly affects organisational success by having managers and employees work together to set expectations, review results and reward performance. Kreitner and Kinicki (2008: 244), in Tlhogo (2009: 2), concur with this and add that during the process, managers integrate the activities of goal setting, monitoring and evaluating, providing feedback and coaching, and rewarding employees on a continuous basis. The only critique to the statement of Kreitner and Kinicki (2008) is that it places the planning and roll out processes solely in the hands of managers, and that the role of subordinates is not acknowledged in the process.

Performance management should encompass measurement and management, information gathering and action, as well as common understanding and acceptance of responsibility. It can take place at organisational level and at employee level, and it is my opinion that these should be separate, but related processes.

There is agreement between Bacal (1999: 3-5) and Costello (1993: 3-5) with regards to employee performance management as an ongoing communication process, and partnership between an employee and his or her immediate supervisor. This involves establishing clear expectations and understanding about;

- the relationship of the organisation's goals and objectives to employee performance management,
- criteria for achievement,
- the skills development component of employee performance management, and
- acknowledging the good performance of employees (reward).

Bacal (1999: 3-5) further states that performance management definitely is NOT a weapon that a supervisor can use against subordinates, nor is it a question of completing forms once a year as a matter of compliance (administrative burden). If it is used as a weapon against subordinates, then the emancipation ideal of community psychology becomes relevant. This is an indirect acknowledgement that performance management presents an opportunity for supervisors to be vindictive against subordinates. The supervisor is in the position of power and PMDS should make provision for preventing the opportunity of abuse. Prevention is one of the key characteristics of critical community psychology.

3.3.2 Performance Assessments (Evaluations/ Appraisals)

A performance assessment is a review and discussion of an employee's performance of assigned duties and responsibilities. The appraisal is based on results obtained by the employee in his/her job. Simons (2009: 13-14) defines performance assessments as the “exercise where once a year managers and supervisors evaluate performance of individuals against aspects such as skills, knowledge, experience, qualifications, performance and training.” The manager or supervisor is referred to as the rater or appraiser, and the subordinate is referred to as the ratee or appraisee. Webb (2003), in Mohube (2009: 16-17), refers to a formal review and evaluation or assessment of a subordinate, usually at the end of a planning year, and that the prevalence of a skills-development component is usually common.

The question whether performance assessments should only be done annually is debateable and would certainly differ from organisation to organisation. Armstrong and Appelbaum (2003), Newstrom and Davis (2002), and Whetten and Cameron (2002), in Mohube (2009: 17), share the observation that performance management includes annual or semi-annual interaction between employee and direct supervisor, whereby the improvement of the employee's performance in attaining organisational goals is discussed. Those who would call for more regular assessments (i.e. quarterly) face arguments about the time it consumes and the amount of paper work required. Regular assessments would mean more interaction with staff and with the system and would reduce the need for regular training on the system.

Performance assessments refer to a joint appraisal of performance and mutual agreement on the outcome and development needs, especially if performance was largely unsatisfactory. Performance assessments usually include performance ratings; and in order to reach agreement between appraiser and appraisee, performance interviews are usually held.

3.3.3 Performance interviews

The main bone of contention around performance interviews is the time they consume and the willingness of both appraiser and appraisee to participate constructively. In Ainstey, et al. (1976: 36), Rowe (1964) refers to the possible reluctance of both parties towards meaningful assessment interviews, as well as inadequate follow-up. Pym (1973), in Ainstey, et al. (1976: 36), cites the threat to a harmonious working relationship as one of the main problems with performance interviews. This threat can, in my opinion, be a contributing factor to the failure of employee performance management systems. This triggered my disposition towards a community psychology approach. Ainstey et al. (1976: 39-40) highlights positive interaction as a prerequisite for a successful interview. Face-to-face meetings between appraiser and appraisee should take place in order to agree on scores/ ratings. This must be done in a conducive milieu. I acknowledge though,

that time to conclude this task should be reduced to the minimum, especially where a supervisor has to assess many subordinate employees.

3.3.4 Performance measurement/ ratings

Measuring performance can be defined as the systematic collecting of data by observation in order to assign scoring against predefined criteria to achieve a specific outcome. This necessitates the development of a measurement criteria or policy (Bouckaert and Halligan, 2008: 26-27). Although the cost of performance management systems can be deemed to be unconditional, tangible and immediate, the benefits thereof can be the opposite.

Performance ratings are usually the most controversial aspect of performance systems. This is due, especially to human bias/ subjectivity that comes into play. Mudau (2000: 84), cited in Simons (2009: 26-27), and Henderson (1984: 11-12), list the following judgemental biases or errors associated with appraisers:

- *The Halo effect* - This is where the appraiser gives a favourable rating to overall job performance, essentially because the person being appraised has performed well in one particular aspect of the job which the appraiser considers all-important. If the appraisee can read into this, he/she may very well manipulate this to his/her advantage. This is one example where the appraisee can gain the upper hand in a power relationship.
- *The Pitch-Fork effect* - This is the opposite of the Halo effect and can certainly give rise to dissatisfaction. The appraiser gives an unfavourable rating to overall job performance, essentially because the person being appraised has performed poorly in one particular aspect of the job which the appraiser considers all-important.
- *Central tendency* - The appraiser deliberately avoids using the end points of the rating scale and rates all employees as average in all aspects of job performance. This is very common of appraisers that want to avoid becoming unpopular or do

not want to answer too many questions. PMDS Collective Agreement no 3 of 2002 (2002: 15) acknowledges this possibility, as well as the lenient rater below, without providing a solution to prevent such.

- *The lose/lenient rater* - In order to avoid conflict with a subordinate, an appraiser does not discuss any weak areas of an individual's job performance. This can relate to the central tendency rater that does not want to be unpopular.
- *The recency error (Latest behaviour)* - The appraiser makes inappropriate use of relatively recent instances of performance to make an assessment. This can also lead to dissatisfaction as perceived performance by peers and the overall unit assessment may not correspond.
- *The spillover effect* - When past performance assessments unjustly affect current assessments (positively or negatively). This definition speaks for itself.
- *Length of service bias* - The appraiser assumes that an experienced employee who has been rated well in the past has absorbed and responded well to new aspects of his/her job, and hence does not monitor performance closely. Any form of bias has the potential of causing dissatisfaction, especially if there is no consistency between recorded/ experienced performance and the assessment.
- *The tight/strict rater* - An appraiser has unrealistically high expectations for subordinates which means that no one receives an excellent or outstanding rating. The potential for strained power relations and ultimately dissatisfaction is very high in this regard.
- *The competitive rater* - An appraiser links his/her own rating to that of his/her subordinates so that no one receives a rating higher than that which the appraiser received. Like in the case of the tight rater, the potential for conflict might also be very high in this instance.
- *Initial impression* - These are ratings based on first impressions, ignoring more consistent behaviours.
- *Status effect* - This refers to an overrating of higher level jobs or jobs held in high esteem and underrating lower level jobs.
- *The personality rating* - This includes rating an employee because he/she has the same qualities as the rater (*same as me*) or rating an employee because of

different qualities as the rater (*different from me*). Also included here would be rating an employee by comparing to other employees rated recently who hold similar positions (*contrast effect*).

McDermot (1987: 67) also refers to *interrater reliability or agreement* where two or more raters give similar ratings to a ratee; which may represent one shared bias or commonly observed, but irrelevant behaviour. I can also add the possibility of romantic relations between appraiser and the appraisee as an instance where rating can be biased. The ramifications of romantic relations will almost definitely have an effect on staff unity and unit performance.

The judgemental biases or errors give adequate reason to believe that the potential for conflict in performance management systems is always there; simply because it is implemented by humans who are subject to forces that influence human behaviour. Ainstey, Fletcher and Walker (1976: 19) are of the opinion that prejudice or bias can never be eliminated altogether, but can be checked and controlled by a second supervisor. This may be the solution to some of the problems encountered in employee performance management. Garber (2004: 8) concurs that performance rating should not be limited to one supervisor as there can be many factors such as unrelated biases, jealousy, and philosophical differences that influence the supervisor. Relations can be strained if a play for power comes into effect. All these biases have a human origin, and this justifies the employment of a critical community psychology approach in this study. There is the challenge of how these biases/ subjectivity can be minimised in performance management systems.

Garber (2004: 9) continues his argument for a second supervisor to be included in the process where feedback is given by only one (the same) supervisor. This could work for the public sector, provided the second supervisor is independent and preferably not employed in the organisation. In the private sector, one might not readily find rival organisations assessing each other's performance at

employee or organisational level. The inclusion of labour unions as observers in public employee performance processes might also assist. However, it would be impractical for them to sit in with every supervisor/ subordinate interview, and their role is usually confined to moderating committees.

Both PMDS and EPMDS provide for scoring instruments as they relate to the performance agreement and work plan output. Outcomes and impact assessments are normally done over a long period at departmental level.

3.3.5 Performance information (supporting evidence)

According to the Framework for managing programme performance information (RSA NT (Republic of South Africa, National Treasury), 2007: 3), performance information is a generic term used for non-financial information in government terms. Casley and Kumar (1989: 2) highlight three purposes for gathering performance information namely; description, explanation and prediction. Descriptive data record progress, relate expenditure with achievement of targets, and identify deviations from the set targets, but lack insight into reasons for progress or lack of it. Explanation investigates why an event or process occurred or did not occur. Prediction leads to better understanding of the cause of events in order to plan better in future. Casley and Kumar (1989: 3-5) relate this to quantitative and qualitative methods of data collection. Quantitative methods usually produce numerical data whilst qualitative methods can be obtained from words, observations and interviews. These methods can be applied for both departmental performance management and employee performance management. Some systems may require that both types of performance information be obtained. My opinion on this is that both are important because quantitative data can provide snapshot information like early warning signals of underperformance, and qualitative data provide the detail that is required for impact assessments. Another distinction that can be made is between primary performance information and secondary performance information. Primary performance information refers to first-hand information or information supplied by

a reliable third party e.g. signatures on an attendance register and automated electronic system reports, whilst secondary evidence supports primary evidence e.g. photos of an event or invitations.

Performance information is an important element for ratings. The mere availability/unavailability thereof, is not enough for the supervisor to make a meaningful rating. Close scrutiny of available performance information, coupled with interviews, may guide the supervisor to a more realistic picture and rating. It is very important that performance evidence is very credible to ensure that it can pass the usefulness test when audited. The Framework for managing programme performance information (RSA NT (Republic of South Africa, National Treasury), 2007: 13) states that, whilst a range of officials are responsible for capturing, collating and checking performance data, line managers are responsible for establishing and maintaining performance management processes. It also suggests that the performance agreements of line managers reflect such responsibilities; something I pursued in my semi-structured interviews. Furthermore, this framework relates the integrity of the institutions' overall performance to how conscientiously officials fulfil these responsibilities. This provides further reason for me to believe that much time and labour can be saved by using the same performance information presented for employee performance to justify departmental performance. It is noted that departmental performance indicators may be at a higher strategic level.

3.3.6 Performance feedback

The importance of regular feedback during the performance management cycle has already been mentioned. Makamu and Mello (2014: 107) and Costello (1993: 50-51) adds the following guidelines for useful feedback:

- i. Feedback should avoid loaded terms which may produce emotional reactions and raise defences.
- ii. Feedback should be descriptive rather than evaluative.
- iii. It should be directed towards what can be corrected.

- iv. It should be well-timed and regular. A supervisor should not schedule feedback during a period when an employee is going through difficult times.
- v. It should provide clear communication to ensure that the understanding is mutual.
- vi. The supervisor should own the feedback.
- vii. It should be based on fact or what was observed.
- viii. It should be balanced.

The regularity and appropriateness of feedback is a theme I pursued in my semi-structured interviews.

3.3.7 Office-based Educators

As mentioned in chapter 1, office-based educators (other than institution-based) refers to officials who are appointed in terms of section 6 of the Employment of Educators Act (no 76 of 1998), and render a support function to school-based educators from head offices and regional/ district offices. Office-based educators are based at a provincial education department office (head office or district) and not at a school or FET College. The Personnel Administration Measures (Personnel Administration Measures, 2016: 45) provide the guidelines for the duties and responsibilities of office-based educators. The guidelines are clear as to the administrative support provided to schools/colleges, but no teaching of learners/students is expected. Job descriptions for office-based educators are predetermined in terms of Collective agreement no 4 of 2017.

3.3.7.1 Manager/ Supervisor

The Cambridge Online Dictionary (Cambridge dictionary, n.d.)² simplistically refers to a manager as the person who is responsible for managing an organisation. A supervisor refers to a person whose job is to supervise/ oversee

² <http://dictionary.cambridge.org/dictionary/english/manager?q=Manager>

someone or something. In the PMDS policy the manager is referred to as the “supervisor” (RSA ELRC (Republic of South Africa, Education Labour Relations Council), 2017: 19). For the purpose of this study, I will refer to the manager and supervisor as the same person that manages the operations of the organisation (or a unit thereof). Their job includes supervision of persons (subordinates) responsible for executing the unit of work which the manager supervises.

3.3.7.2 Appraisee/ Subordinate

According to the Cambridge Online Dictionary (Cambridge dictionary, n.d.)³, appraisee refers to an employee involved in a meeting with a manager to discuss the employee's progress, aims, and needs at work. In the PMDS policy the appraise/ subordinate is referred to as the “employee” (RSA ELRC (Republic of South Africa, Education Labour Relations Council), 2017: 19). To appraise is to examine someone or something in order to judge their qualities, success, or needs. Performance management is a two-way process involving a manager in a higher position and a subordinate who is described as having a lower or less important position.

3.3.8 Key Performance Area/ Key Results Area

Key Performance Area (KPA) and Key Results Area (KRA) are often used interchangeably, but hold different meanings. KPAs define the activities (not all results orientated) that an individual has to perform, while KRAs define the outcomes or end result of what was expected to be delivered (HRdictionary, 2012)⁴. For the purpose of this study, I refer to KPAs as they are linked to the activities contained in the work plan.

³ <http://dictionary.cambridge.org/dictionary/english/appraisee>

⁴ <https://hrdictionaryblog.com/2012/12/06/key-result-areakra-and-key-performance-areakpa/>

3.3.9 Performance indicator

According to the Cambridge Online dictionary (Cambridge Dictionary, n.d.)⁵, performance indicator shows how well an employee, a company, and an economy is doing. It also gives an indication of what a situation is like or how it is changing, or shows how well an economy, company, project, etc. is doing, or how well an employee is working. Performance indicators are utilised extensively in government planning and reporting systems (RSA NT (Republic of South Africa, National Treasury), 2010: 14). The framework for managing programme performance information (RSA NT (Republic of South Africa, National Treasury), 2007: 7) requires indicators to be reliable, well-defined, verifiable, cost-effective, appropriate and relevant. The framework for strategic plans and annual performance plans (RSA NT (Republic of South Africa, National Treasury), 2010: 13) complements this with its SMART- principle (Specific, measurable, achievable, relevant and time-bound) for indicators and related performance targets. Performance indicators are an integral part of departmental performance systems. These should flow from employee performance management documents where well-defined indicators should be included in the work plan section that would ensure that actual performance of what was supposed to done, is assessed.

3.3.10 Reward

Armstrong and Appelbaum (2003), Mann (2002), Green (2000) and Van der Westhuizen (1991), in Mohube (2009: 17-18) identify motivation as a reason for performance management. Meyer et. al., in Makamu and Mello (2014: 107), concurs that linking compensation with performance is the best way to motivate employees. In recognising human resource as the greatest asset of nearly all organisations, Ainstey, Fletcher and Walker (1976: 15-16) view participation in determining objectives as a powerful method of motivating people. Recognition

⁵ <https://dictionary.cambridge.org/dictionary/english/performance-indicator>

and reward for good performance, as well as regular feedback, is key to maintaining motivation levels. From the newspaper citations in chapter 1 (Mokoena, 2012: 5), (Kwon Hoo, 2013: 7), (Halata, 2012: 6), it seems that performance management has the adverse effect on some public servant employees in the Northern Cape.

3.3.11 Disciplinary action

When the performance of an employee is consistently poor, disciplinary action is usually the last resort in a line of preventative actions. Depending on the circumstances of the case and whether the employer is convinced that all avenues have been exhausted to improve performance, disciplinary action becomes a consideration. Disciplinary action may include dismissal, depending on the severity of the case. Chapter 4, section (c) and (d) of the Employment of Educators Act (Employment of Educators Act no. 76 of 1998, : 9), confirms that educators can be discharged on account of unfitness or incapacity to carry out duties related to their posts, and promotion of efficiency and economy. Costello (1993: 67) notes that a reprimand is given when it is necessary to point out errors, and when performance has slipped. Supervisors cannot predict the reactions of appraised subordinates, to reprimand or disciplinary action. This could vary from acceptance to more negative reactions like anger, demotivation and defensiveness. These human reactions must be dealt with in a sensitive manner. While admitting that it is difficult to provide appropriate reward structures, Hughes (2003: 152) states that it is equally difficult to remove underperforming people in the public sector. This argument is strengthened by the provisions of Chapter XIII of the Labour Relations Act no. 66 of 1995 (RSA DoL (Republic of South Africa, Department of Labour), 1995: 100-113).

3.3.12 Performance Development/ Coaching

Although it should not only be confined to instances of underperformance at employee level, developmental aspects are usually a direct consequence thereof. Continuous monitoring and counselling (RSA ELRC (Republic of South Africa, Education Labour Relations Council), 2002: 11-12), as well as disciplinary processes in extreme cases of continued underperformance, form part of this process. At organisational level, underperformance should require stringent investigations and forward planning at annual strategic planning sessions.

In terms of development, two aspects have to be differentiated, i.e. training on the performance management system and training needed to perform the requirements of the job satisfactorily. According to Armstrong and Appelbaum, 2003, in Mohube (2009: 19), employees involved in their own career development would learn valuable skills such as goal setting, effective observation, practical documentation and ongoing communication. The role of feedback during performance management must once again be highlighted. Feedback should not only be a downward process, but room should also be made for upward feedback. This would require a dynamic type of leadership as suggested by the distributive leadership as proposed by Naicker and Mestry (2011: 100-101). This type of leadership professes that leadership does not have to be located in the top range of hierarchy, but can be dispersed between staff members at all levels. Distributive leadership does not necessarily lead to the removal of the hierarchal leader and ineffective performance, but rather improves collective problem solving and closer collaboration.

Costello (1993: 31) is of the opinion that development planning provides a means of helping an employee maintain or enhance the knowledge, skills, and abilities needed to do his or her current job. Employee development often focuses on:

- on-the-job training;
- special projects, assignments;

- cross-training or rotations to other jobs;
- self-study;
- training (internal and external courses);
- mentoring;
- attendance at conferences, seminars, and workshops;
- reading material; and
- membership in professional organisations or associations.

Agere and Jorm (2000: 5) identifies two ways of learning that can contribute to the development of the employee and the success of the organisation. These are individual learning and organisational learning.

3.3.12.1 Individual learning

Individual learning refers to "on the job training" - a result of lessons learnt and experience gained from key work assignments, dealings with colleagues and superiors, as well as organisational successes and mistakes. The responsibility to learn rests heavily on the employee, with support provided by peers and seniors.

3.3.12.2 Organisational learning

The responsibility shifts to the organisation to provide the culture and circumstances to translate individual learning into organisational thought and practice. This would require a disciplined type of environment, which Mestry and Khumalo (2012: 97) describes as an "environment free of any disruptive behaviour". Disgruntlement with PMDS can be cause of disruptive behaviour. If disgruntlement with PMDS can be curtailed, employees will be less disruptive. In the process, the performance of the organisation is enhanced. Organisations are therefore, charged to provide minimal investment in creating the conditions for

optimal individual learning, from which the organisation will benefit in the long run. Instilling a culture of continuous learning in order to improve operational performance at a practical level can be achieved through:

- benchmarking by comparing the organisation with other organisations known for their efficiency or effectiveness, identifying and adapting their best practices to improve performance; and
- identifying ways to work faster and simpler by eliminating unnecessary steps and redundant work that adds no value.

The value of training on organisational systems, including the performance management system, deserves special mention. Makamu and Mello (2014: 108) agrees with Mosoge and Pilane (2014: 4), that the lack of understanding of what performance management entails is a major challenge for its successful implementation. When employees understand how a system works, it assists with the effective implementation of the system and contributes to soliciting buy-in from all. However, all systems are subject to different interpretations by the inherently different personalities of the role players.

3.4 Purpose of government employee performance management systems

Any organisation would periodically want to assess whether it is achieving what it set out to achieve. Government departments are no different in this regard, precisely because of their obligation to account on delivery, to their primary clients – the public. Development is aimed at continuous improvement which is the main purpose of performance assessment. Reward, in turn, is aimed at motivation. Withholding reward and unrealistic demand for it can cause conflict and demotivation that is contrary to the purpose. Jerome (1998: 7) and Lombard (2005: 105) note that performance evaluations provide support to personnel decisions such as promotions, salary adjustments, and terminations.

In the private sector, monetary reward for exceeding targets makes perfect sense. Government, however, is not bent on making financial profit, excess of which can be utilised for reward; but rather on delivering planned services. Assessment of performance should thus, be structured and planned as much as output is planned for. Harbour (1997: 1) is of the opinion that a critical enabler in achieving desired performance goals is the ability to measure performance. He states that: "You can't improve what you can't (or don't) measure."

The following citations from Osborne and Gaebler (1993: 146-154) are also very profound in this regard:

"What gets measured gets done"

"If you don't measure results, you can't tell success from failure"

"If you can't see success, you can't reward it"

"If you can't reward success, you're probably rewarding failure"

"If you can't see success, you can't learn from it"

"If you can't recognize failure, you can't correct it"

"If you can demonstrate results, you can win public support"

3.5 Types of performance management

In order to suggest acceptable approaches to current employee management systems, I investigated alternative possibilities in performance management. Simons (2009: 28), (Aggarwal and Gour, 2013: 617-618) identifies the following types of performance management systems:

- Overall assessments/ narrative essays - The appraiser/ manager writes a report on the subordinate according to prescribed guidelines. The appraisee may or may not be allowed to see the assessment or comment on it. My impression of this type of assessment is that it is a time-consuming, paper based exercise that is not necessarily linked to a logical rating scale. However, the element of not initially seeing

assessment (specifically scores) may be appealing in terms of ensuring objectivity. This may be worth exploring when suggesting an approach to employee performance management for office-based educators.

- Grading assessment - Managers/appraisers rate their subordinates' performance against, usually an extensive rating scale e.g. "Poor, Satisfactory, Good, Outstanding". This is common in public employee performance management systems. The advantages of an extensive list versus a shorter list is debateable, but the most important thing is to select an objective score. My preference for shorter scale will be explained in chapter 6.
- Critical Incident Technique - This approach concentrates on key events in the year or period under review, that were outstandingly good or bad. These events are then analysed to note the critical points, which are examined by the manager and the subordinate, to seek remedies and solutions. Record keeping can be cumbersome in this process. This technique would not be suitable for public employee performance management.
- Multiple Assessments - These include nominated, rated and completed assessments that are collected and fed back to the subordinate following an interview. Usually, the raters could be subordinates, peers or superiors. Multi-dimensional assessments have huge possibilities in reducing subjectivity in scoring. This type of assessment is worth exploring when proposing an employee performance management approach for office-based educators.
- Management by objectives - Seven elements are distinguished; strategic planning and hierarchy of objects, setting objectives, planning for action, implementation, control and appraisal, subsystems and organisational and management development. Objectives are agreed upon and set at the beginning of the review period. Training, development or coaching may be made available to assist the employee. At the end of the period, performance is reviewed and new objectives are set. Performance is assessed against quantitative objectives. The job-holders' personality is

not reviewed, something I specifically agree with. Currently, government uses objectives at strategic level. The use of Key Performance Areas is more operative in employee performance management.

- Peer Group Appraisal - This is referred to as the buddy system whereby the members of a small team evaluate each other's performance. Peer group assessments are an ideal multi-dimensional approach which can be followed in a departmental unit context. The possibilities of equalising subjective scoring is good and is something I would want to explore in my proposed approach to employee performance management for office-based educators.
- Upward appraisal - It developed as a result of the search for a truly objective appraisal system. People are best judged by those who work under them. This upward feedback system was incorporated in PMDS Collective Agreement no 3 of 2002, but excluded in EMS Collective Agreement no 3 of 2017. Upward appraisal is the opposite of peer appraisal and is ideal for providing an objective assessment of supervisors.
- Ranking method - This is a simple method of ranking employees from best to worst or from highest to lowest. This method would not be ideal for PMDS given the current levels of disgruntlement.
- Graphic rating scales - A number of traits are listed with a range of performance for each. The employee is rated by identifying a score that best describes his/ her level of performance for each trait.
- Behaviourally Anchored Rating Scales - The rater is an observer of desirable or undesirable behaviour which is used during discussion of ratings. Such a system lends itself to bias and subjectivity. Prior to 1994, performance rewards were based on incidents, which required meticulous record keeping of significant contributions by employees (Makamu and Mello, 2014: 106).

It is evident that more possibilities exist that can be explored to improve on existing performance management systems.

3.5.1 The 360-degree performance appraisal

Contrary to the conventional performance assessments that involves a two-way process between a supervisor and a subordinate, the 360-degree performance appraisal derives input from multiple levels of from within the organisation. These multiple level role-players include supervisors, peers and even from external sources (Aggarwal and Gour, 2013: 618). It thus, combines some of the options mentioned above. The process includes various activities such as goal-setting, continuous communication and feedback, continuous development and rewarding achievements. There is an emphasis on job descriptions, performance improvement plans and a 360-degree feedback process. The 360-degree feedback process refers to a systematic collection of performance data on an individual or group, which is derived from multiple stakeholders. This performance data is used to identify performance gaps in order to build on individual or group competencies (Zondo, 2018: 1-2). The 360-degree appraisal feedback holds the following advantages if compared with the more conventional form of feedback from just one supervisor (Zondo, 2018: 2-3), (DeNisi and Kluger, 2000: 135);

1. It is deemed to be more accurate, more reflective and more valid.
2. With a multi-source feedback process, discrimination based on race, gender and other factors can be reduced.
3. The results can be used, not only for conventional applications, but also for important aspects such as succession planning, training and development.
4. Many common appraisal errors can be reduced or eliminated with a multi-dimensional input approach.
5. Multiple raters would provide a more objective rating, and also make the process procedurally and substantially fairer.

The criticism levelled against the 360-degree appraisal feedback includes:

1. The process will take more time because of the multiple input required.
2. The process tends to be costlier and it correlates negatively with financial results.

3. People who are close to each other may give good ratings, and competitors for pay raises and promotions may provide negative ratings. This negates the notion of objectivity as stated under advantages.

In summary, the 360-degree performance appraisal have more advantages than disadvantages. The involvement of multiple stakeholders, if correctly utilised, can be crucial in minimising harmful power relations.

3.6 Integration of employee and organisational performance

Performance management should encompass measurement and management, information gathering and action, as well as common understanding and acceptance of responsibility. It can take place at organisational level and at employee level and it is my opinion that these could be separate, but related processes. Rogers (1990: 16), in Bouckaert and Halligan (2008: 32), agrees that performance is an integrated process of planning and review which should cascade down the organisation to provide a vital link between the employee and the organisation. In the South African Public Service, organisational performance management is usually a function assigned to the Monitoring and Evaluation unit, while employee performance management is a Human Resource function.

The performance development management system is usually linked to a financial year, which informs the aspects of pay progression and cash bonuses (Tlhogo, 2009: 2). Not only is the performance of the individual employee reviewed, but the review is linked to the unit performance, as well as to the whole organisational performance (Tlhogo, 2009: 2). This interpretation of performance management suggests that organisational and employee performance should be linked.

Costello (1993: 3-5) strengthens this argument by stating that employee performance management supports an organisation's overall business goals by linking the work of each individual employee or manager to the overall mission of the work unit. Generally, this is accomplished by establishing individual goals and

objectives that are tied directly to the organisation's purpose or direction. An effective performance management process generally starts with identifying clear goals, which are used as the foundation for ongoing coaching and performance review.

According to Costello (1993: 3-5), performance management involves:

- Analysing the objectives and goals for an organisation and ensuring that they relate to the overall goals of the company or organisation.
- Analysing employee's skills and assignments as they relate to the organisation.
- Clearly communicating performance goals and expectations to each employee and gaining agreement on those goals and expectations.
- Recognising and acknowledging the good performance of employees.
- Recognising where performance needs to be improved and providing employees with the necessary support to improve it.

Bacal (1999: 3-5) agrees with Costello (1993), but also gives a comprehensive description of what employee performance management is and what it is not. Bacal states that performance management is "an ongoing communication process, undertaken in partnership, between an employee and his or her immediate supervisor that involves establishing clear expectations and understanding about:"

- the functions of the job, that the employee is expected to do,
- the contribution of the employee's job to the achievement of organisational goals,
- the criteria for achieving what is expected and how job performance will be measured,
- the cooperation needed to sustain or build on good performance, and
- identifying and addressing barriers to performance.

Performance of employees are measured against set expectations which are aimed at realising organisational objectives. These set expectations are usually contained in a performance agreement between the supervisor and subordinate, which is usually concluded at the start of the performance period. Skills gaps are implicated in the PMDS title, but omitted in some definitions. Furthermore, performance management covers a broad area from organisational level to individual/ employee level. Hence, for this study to be truly comprehensive, the performance link between employee and organisation was investigated.

3.7 Performance Management- public sector versus private sector

As stated in chapter 1, the main difference between performance management in the public sector and in the private sector is that in the latter, it is driven by profit (Hunt, 2005: 20); (Holzer and Callahan, 1998: 4) and (Hilliard, 1995: 3). It includes the setting of profit targets. Performance in the public sector, however, is driven, by and large, by the achievement of set targets (outputs) against predetermined political priorities (national and provincial) in order to meet the expectations of the voting public. Hilliard (1995: 1-2) and Huber (1987: 28) confirm that services rendered by the public sector should be aimed at improving the well-being of citizens of a country, whereas the private sector caters, by and large, for individual or segmented interests. Huber (1987: 28) also identifies the following performance management differences between the public- and private sector;

- private organisations do not have merit systems,
- regulations to hire, fire and promote employees is much stricter in the public sector,
- performance appraisal is optional in the private sector, and
- awarding of rewards is dependent on financial resources and much stricter legislation in the public sector.

Wittmer (1991), in Holzer and Callahan (1998: 3-4), cites different studies that indicate differences between public and private sector in terms of work related

values, reward preferences, needs, as well as the personality types. Private sector administrators place a higher value on efficiency, whereas the public servants have public interest at heart. Furthermore, public sector employees are motivated by intrinsic rewards such as helping others and “power and glory”, while private sector employees are motivated by extrinsic rewards such as money. From personal experience, it emerged that the monetary reward also plays a big motivating role in the public sector. Public services should always be affordable to prevent the government of the day from becoming unpopular. The private sector does not always have to contend with political constraints or strive for maximum profit, and is not directly accountable to the electorate.

In contrast with private enterprises, public servants' salaries usually do not depend on output (Hilliard, 1995: 3), which makes them prone to fall in the habit of wastage. Measuring whether government is succeeding or failing is a bit more difficult than measuring performance in the private sector (Hughes, 2003: 157,159). The new EPMDS policy (2018: 32) states that, as no financial profits are in the offing for the public departments at the end of a financial year, rewards for exceeding targets are usually attributed to employees who had "gone the extra mile", and are budgeted for as part of the remuneration budget. In the case of the private sector, there is usually a direct link between profits and rewards - the attainment of profits determines employee rewards, which can also be regarded as an incentive for hard work. The opposite would also be true; no profit, no reward. It is also worth mentioning that rewards in the public sector are usually confined within predetermined scales of performance ratings, whereas it can be more arbitrary in the private sector. In many cases, the extent of the reward is determined by the profit margin.

While Hilliard (1995: 2) emphasises the difficulty of measuring performance and productivity in the public sector, De Bruijn (2002: 7) is also very vocal about the difficulty of measuring outcomes and impact in public organisations over a short space of time. By and large, public departments' annual performance plans measure output, and these should be linked to employee performance. Technically, private organisations also measure productivity in terms of output, but the difference is that the accountability factor in terms of impact is much heavier

for public organisations. This is because the core of their function is to deliver services to the public using public money. Public sector organisations have to account to many oversight bodies on their performance, for example portfolio committees, audit committees, provincial treasuries. This does not mean that accountability is totally absent in the private sector. Employees are indeed held accountable for underperformance by company owners.

3.8 Perspectives on performance management

Any organisation would want to pride itself on excellence in service or product delivery. In simple terms, if an organisation does not excel, it will fail and eventually cease to exist. Very few consumers are satisfied with mediocre services. Therefore, measurement of success is very important for any organisation. This requires careful planning and implementation of performance management systems. Agere and Jorm (2000: 3) rightfully justify the global need for appropriate performance management methods in the wake of dwindling resources and an increase in the demand for better quality services.

The following points summarise the importance of effective performance management for an organisation, according to Costello (1993: 27) , De Bruijn (2002: 8) , Simons (2009: 16) , Harbour (1997: 3-4) and Mohube (2009: 19):

1. Performance expectations are explicit to employee and supervisor when activities are described and criteria for evaluation thereof developed.
2. When performance processes are transparent, fewer questions are raised and less disputes declared.
3. Poor performance can be identified early, training needs established and career planning advanced.
4. Baseline performance can be established, which can be used as a benchmark for improving performance and to provide valuable planning information.

5. Individual performance can be tied to organisation and department business plans.
6. Performance management provides valuable opportunity for learning.
7. Motivation can be increased. Performance management has the potential to affect an employee's attachment to his/ her organisation.
8. Performance systems reward performance and prevent bureaucracy.
9. Performance management can enhance the quality of organisational decisions, and provide a rationale and legally-defensible basis for individual decisions (career choices), as well as organisational decisions (promotions or discharges).
10. Performance management provides an ideal opportunity for interaction between an employee and his/ her supervisor, as well as between fellow employees (peers).

According to Agere and Jorm (2000: 1), performance management can be used as a measurement in shaping the performance of organisations and people. Many leading organisations use performance measurement for assessing progress towards achieving predetermined goals, for gaining insight into, and making judgements about, the effectiveness and efficiency of their programmes, processes and people. The importance of performance management can perhaps be related to the use of performance measurement information to;

- evaluate performance in achieving performance goals,
- allocate and prioritise resources, and
- provide managers with information to confirm or alter the measured performance.

3.9 Current perspectives to support the problem statement

Miller (2005:191), as cited in Cameron (2009: 24) refers to three main reasons why performance management has been introduced in the public sector:

- To provide an objective measure to assess the manager's performance.
- To determine whether employees were performing their functions effectively.
- To improve the political-administrative interface between politicians and senior management.

According to Simons (2009: 21) and Tihogo (2009: 4), a common criticism of performance management systems is that they are perceived as being unfairly and inconsistently applied, and that they benefit only certain officials. Bouckaert and Halligan (2008: 13-14) highlight the reasons why performance management in the public sector has become such a contentious topic. These reasons vary from poor implementation and imperfect performance management models, to lack of agreement/ understanding on measurement of performance. Henderson (1984: 1) classifies barriers to successful implementation of performance assessments into two interactive groups, namely technical and human. Although technical barriers may seem to be many and more complex, they are much easier to overcome than human barriers. According to Henderson (1984: 2-4), a wide variety of emotional, psychological, intellectual and physical problems (stemming from human participants) may combine in many ways to bedevil the intent of performance management systems. These human factors may range from the desire to be rated high as opposed to be rated average, the fear of abuse from fellow workers if they are rated higher, and fear that poor ratings may count against them forever.

Fear of subjectivity, aggravated by perceived power hungry and incompetent supervisors, justifies my choice of a critical community psychology approach to this study. It is acknowledged that in every work situation, some employees will perform better than others. The problem is that most employees always see themselves in that high performing bracket. This makes separating the best from the average, and from the poor, increasingly difficult. I agree with Henderson (1984: 1) that human barriers can be minimised through proper design and implementation of the technical components. Hilliard (1995: 4-8, 43-48) lists the following self-explanatory difficulties associated with performance assessment:

- An unresponsive organisational culture and climate.
- Unclear performance indicators.
- Incorrect utilisation of human and material resources.
- Failure to effectively measure clerical activity.
- Aloof, insensitive management.
- Rapid technological progress.
- Militant trade unionism and unsatisfactory labour relations.
- Work overload and unsafe acts.
- One-sided employment practices and dissatisfied stakeholders.

Webb (2003) in Mohube (2009: 20), cites low management commitment as the most important reason why performance systems fail. This strengthens my belief that employee performance management should be included as an activity in the work plans of supervisors specifically. Cameron (2009: 25) notes the absence of a substantive performance culture in the South African public service. If employees are negative towards a system, a culture of negativity, which is difficult to reverse, festers. This realisation served, during my semi-structured interviews, as motivation to request participants to elaborate if they were happy with the current system. Maphunye (2001: 319), in Cameron (2009: 25), agrees that performance is not effectively being monitored. Evaluations undertaken were inconsistent and left room for improvement. Miller (2005: 93), in Cameron (2009: 25), point out that officials manipulated the process. These observations support the importance of continuous systemic evaluation of employee performance management and the need for new ideas to be suggested.

There is a concern that poorly formulated Performance Agreements may result in appraisal outcomes that are either biased towards or against the HOD (Cameron, 2009: 24). According to the South African Public Service Commission report (2008: 18), such performance appraisals often fail to show an adequate correlation between the performance of the HOD, as an individual, and the overall performance of the department for which they are responsible. It can be assumed that this problem is cascaded down the hierarchy list. According to the Public

Service Commission report (2007: 45-46), compliance to sign off performance agreements is low amongst senior officials, and Director-Generals also raised their concern that performance agreements were inadequate, and certainly not taken seriously.

A study by Simons (2009: 45) on the performance management system of a provincial department showed that 64,1% of respondents indicated that PMDS does not reach or achieve its goals and objectives. The following responses were also noted;

- PMDS is applied inconsistently, those favoured get higher scores (16,7%).
- The individual is not recognised, but the Department gets recognition (50%).
- Staff are not motivated to improve their performance (28%).
- Feedback and follow up on assessment results is inadequate (16,7%).
- Communication is non-existent (16,7%).
- PMDS is not useful in achieving personal agreed performance targets (88%).

Jerome (1997), in Mohube (2009: 21), notes that people generally feel uncomfortable sitting in judgement on others. Employees and supervisors alike do not enjoy the prospect of engaging in appraisal sessions. The prospect of being questioned or having to justify opinions or ratings with specific examples is probably not easy for either party. Smith and Brouwer (1977: 44-46) specifically refer to the psychological conflicts endured by supervisors who feel forced to assess personality traits. The result is often a defensive response from the employee, who may justifiably feel that he/she is under attack. Human emotion often defeats the purpose of the performance appraisal. Whenever the employee's performance is rated as less than the best, or less than the level at which he/she personally perceives it to be, the manager is usually viewed as punitive. Disagreement about contribution and performance ratings can create a conflict ridden situation that festers for long periods, and jeopardise organisational performance. Most managers avoid conflict that undermines workplace harmony.

In today's team-oriented work environment, it is also difficult to ask people who work as colleagues, and sometimes even friends, to take on the roles of judge and defendant. This normally justifies a move away from conflict, by removing criteria that lends themselves to subjectivity.

In her research of perceptions of office-based educators on the appraisal system, Mohube (2009: 54-64) cites several reasons why office-based educators are unhappy with the system. These are listed below.

- The appraisal system (PMDS) does not enhance performance or increase service delivery.
- The appraisal system is not regularly monitored and supported within directorates.
- Supervisors and supervisees/ subordinates do not follow process and procedures in the implementation of PMDS.
- Lack of uniformity in the system leads to lack of commitment to the system.
- Supervisors use the appraisal system as a punitive measure. Supervisors also deliberately reduce scores to prevent having to defend high scores to a committee, and also conform to the expectation that the bulk of the staff (90-95%) will fall within an overall rating of 2 - 4, and that only very small numbers would be ranked in the other categories.
- PMDS is not a worthwhile exercise (61% of respondents stated this).
- There is no feedback and no induction for new appointees.
- PMDS is a good policy, but is time consuming and not taken seriously.
- Developmental needs are not attended to, adding to discouragement.

Tlhogo (2009: 7) observes that once the strategic plan has been finalised, the job descriptions for the following year are not adjusted in line with the goals of the Department. The Human resource unit responsible for the implementation of the policies of the Department do not follow up to make sure that all components (also referred to as units in this research) have a common goal, and that implementation is done in the same way in all components. This is indeed problematic as it usually

results in employees either not having job descriptions and/or the job descriptions not being aligned to the strategic objectives of the organisation.

Hughes (2003: 162) admits that performance assessments may cause problems with morale. Osborne and Gaebler (1992), as cited in Simons (2009: 5), hold the view that performance management may improve public sector performance, but may also produce adverse effects such as staff demotivation and unethical behaviour. This is attributed to unfair application of the system, an unclear system, too much subjectivity, and the system being time-consuming. Du Plessis (2010: 2) adds to this argument when she alludes to the disillusionment experienced with the complexity of the employee performance management system of the University of the Free State during the year 2006. The university staff was also disillusioned with the time it took to implement appraisals. Disillusion could, especially be real if the emphasis leans heavily towards rewards and no due attention is given to the developmental aspects of the Performance Management and Development Scheme. Williams (2002: 2) acknowledges the importance of reward, but expresses the need to balance it with employee wellness, employee development and fairness of treatment. He is of the opinion that a participatory approach is one way of showing that employees are valued. Consistency in implementation is of the utmost importance, especially in a system that depends heavily on subjective scoring as a result of negotiation between supervisor and subordinate.

Hunt (2005: 2) states that the connection between appraisal and production is often missed, and that appraisal is seen as a waste of time, resources and energy. Employees should know that their contribution(s) are valued and will possibly be rewarded. Hunt agrees that there also seems to be an over-emphasis on the rewards aspect of PMDS, and a general neglect of the developmental aspects.

There are two clear inter related themes that emanate from the statement of the problem, namely; implementation of the scheme and human interaction issues. I

am thus convinced that a suggested approach to employee performance management should address both these issues.

3.10 Findings

My findings are related to the research questions for the chapter:

1. What information can be derived from available literature on the topic, that can augment the study?

The purpose of employee performance management is two-fold; to reward excellent performance, and to address below par performance. Both of the aforementioned are aimed at motivating employees.

There are other types of performance management that can be explored against current practices. The specific options from the literature that might be worth exploring are multiple assessments, peer group appraisal, and upward appraisal. These are specifically highlighted because of their possible value in neutralising power relations and subjective scoring. Changing the status quo will require commitment from all role players. Any change management scenario might invoke fear, which may lead to resistance to change (van Wyk, vander Westhuizen and van Vuuren, 2014: 458). In the strive to let people see things in a new light, caution must be applied over psychological aspects such as emotions,

2. What perceptions exist on concepts central to employee performance management?
 - i. Performance management is the broad concept that involves the entire process of planning, execution (assessment/ evaluation) and implementing decisions on outcomes. Planning involves linking these to achieve organisational goals. Execution of assessment would include aspects such as improving understanding of what is expected to be done, improving

communication, and the actual assessment ratings. Implementing outcomes decisions would revolve around assessing developmental needs for underperformance, assessing decisions on appointment, and awarding of rewards.

- ii. The outcome of an assessment is almost always interpreted in terms of success or failure. In employee performance management, success and failure, in turn, is always interpreted in terms of reward and development respectively. Success, in my opinion, should not necessarily always result in monetary reward and should not exclude development. However, no organisation will reward failure or will indefinitely invest in developing an employee without any promise of results.
- iii. Despite its good intentions (motivation), reward seems to have adverse effects for some employees. Positive interaction is given as a prerequisite for successful interviews. This is, however, not a guarantee. Performance management should not be a weapon used in personal conflict, nor should it be an administrative burden. The mere mention of this in literature suggests that it may be a reality. Apart from the time it consumes, performance interviews create an opportunity of threatening the very harmonious relationships it hopes to promote. This is due to bias/ subjectivity that comes into play with performance ratings. Literature reveals that these biases can probably not be eliminated altogether, but they can be minimised by the implementation of certain measures. The inclusion of other participants in the assessment of an employee, presents a type of multi-dimensional approach that can minimise bias and other abuses of the system. This is an option, as explained under the 360-degree appraisal system (Zondo, 2018: 1-2), worth exploring.
- iv. At the opposite end of reward for excellent performance, lies training/ development and ultimately, disciplinary action. Training is usually the first resort in order to bring performance up to standard. However, training should also be an instrument towards maintaining and optimising current performance.

- v. It is accepted that employee performance management should be integrated with organisational performance. Integrated planning, but separate implementation runs the risk of missing the synergy at the end point of the process. How often employee assessments should be done per annum differs from institution to institution, and may depend on aspects such as workload, number of employees, and other practical considerations.
- vi. Performance information can play a very important role in corroborating performance, for both employee and organisational performance.

3. How does employee performance management in the public service compare with employee performance management in the private sector?

The private sector is driven by profit which brings about differences in the type of employee it attracts, and differences in attitude and approach to work. Private sector organisations work towards the (mostly financial) well-being of the organisation, whereas the public sector work towards the well-being of the public. The private sector places higher value on efficiency, but according to the Framework for managing programme performance information (2007: 8-9), the public sector also commits to concepts such as efficiency, effectiveness and economy. The dedication towards achieving this, is probably greater in the private sector due to the realisation of the dire consequences of failure for the organisation and the employee. Public sector employees' salaries do not depend on the eventual output, but performance rewards should definitely be linked to output, which is the opposite for the private sector. Therefore, measuring performance in terms of output is slightly easier in the private sector.

The public sector is governed by much stricter regulations like to hire, fire and promote employees. The regulations apply to employee performance management as well, which is not obligatory in the private sector. Transparent performance management processes should lead to less disgruntlement. Public organisational performance management processes are subjected to vast audit and oversight, which is not quite the same for the private sector. Certainly, the

audit and oversight is not too stringent on employee performance as it is on organisational performance. If auditing can include employee performance management, it might be taken more seriously.

4. What are the most common reasons for failure of employee performance management systems?

Unfair and inconsistent implementation of employee performance management is perceived to be the most common reason for employee performance management failing. Lack of understanding on the measurement instruments is also cited as problematic, which highlights the importance of regular training on the system. Other reasons why performance systems can fail include low management commitment, manipulation of the process, inadequate feedback, waste of time, and poor communication.

Linked to unfair and inconsistent application, Henderson's reference to human barriers being more difficult to overcome than technical barriers, directs the core reason for failure to the implementers. Bias or subjective scoring is unique to human behaviour. Even without the potential of conflict, it seems that the interview process is regarded as uncomfortable by supervisors and subordinates alike.

Annual plans are revised annually, but performance agreements and work plans are replicated and not revised accordingly.

3.11 Conclusion

It is particularly clear that systems (including technical) and human factors equally influence the effective implementation of performance management systems. If these factors can be minimised through calculated interventions, it can go a long

way to eliminate dissatisfaction with a particular system. Kreitner and Kinicki (2008: 254), as cited in Tlhog (2009: 2), recommend the following to managers:

“focus should be on performance, not personalities, feedback should be linked to learning goals and performance outcome goals, feedback should be given as soon as possible, feedback should be based on clear expectations for improvement, and feedback should be channelled toward key result areas for the organisation.”

According to Simons (2009: 23), evaluation should take place once a year as an assessment of the employee's performance for the cycle. McLaughlin (1981: 89), in Simons (2009: 23), states that the performance evaluation system must be linked to the organisation's strategic and operational plans in order to effectively control performance of the organisation's human resources. Where an employee feels aggrieved by the outcome of the review process, relief can be sought through an appeal. A survey reported in the Training and Development Journal (October 1980, 7), as cited in Olson (1981: 5), confirms that managers do not feel that their work, with regards to employee performance management, is recognised or in any way meaningful to the organisation.

The following list of problems with performance assessments is comprehensive in supporting the problem statement (Olson, 1981: 7):

- They are unclear, confusing and complex,
- There is lack of skill to implement performance assessments,
- There is lack of management commitment and support,
- They are subjective in nature,
- They are compensation (reward) orientated, rather than developmental,
- They are not continuously implemented (throughout the year),
- There is a fair measure of political influence,
- They fail to give negative (honest) feedback,
- They have a demotivating effect,

- Performance systems lack reliability and validity,
- Employee goals conflict with organisational goals,
- There are problems with judgmental areas of performance,
- There is sometimes discomfort with two way processes (interviews),
- They are a time-consuming process,
- The reward for effective implementation is small,
- Performance information is not used effectively.

In conclusion, all employees have a desire to be accepted and a concern with job security and self-protection (Henderson, 1984: 6-7). Affiliation with those who hold similar views could manifest in the protest actions (newspaper reports) against performance management systems, as referenced in the first chapter.

Chapter 4. Employee performance management: A document analysis

4.1 Introduction

This chapter is devoted to the second component of the research approach as identified in chapter 1, Document analysis. Interrelated government performance management systems and policies are discussed and the approach is two-fold:

- To juxtapose aspects of selected employee performance management systems in the public sector.
- To reflect on how employee performance management systems are related to the achievement of organisational performance.

In the process, the following questions were explored:

1. What information can be unearthed from a document analysis on employee performance management systems in the public service, that could add value to the aim of this study?
2. How are employee performance management systems in the public service linked to government planning, monitoring and evaluation systems?

The Education and Labour Relations Council (ELRC) Collective Agreement Number 3 of 2002 introduced the Performance Management and Development Scheme (PMDS), specifically for office-based educators (Mohube, 2009: 2). With this, PMDS (2002: 1) seek to evaluate and develop staff performance so that;

- the Department's Vision and Objectives are achieved,
- the Department's Values are practiced, and
- staff benefit through recognition of their efforts and available continuous developmental opportunities.

The document analysis of PMDS was done using selected criteria from the collective agreements and juxtaposing this information against the EPMDS for employees appointed under the Public Service Act no 103 of 1994. This was done because the aims and cycles of both systems are very similar. Furthermore, it is important to note that both PMDS and EPMDS were reviewed for implementation in 2017 and 2018 respectively. This necessitated a simultaneous comparative analysis between the old and the new documents.

4.2 Why a document analysis?

4.2.1 Introduction

Prior (2008: 230) views documents as conduits of communication between a writer and a reader, which leads to the eventual adoption of some form of content analysis. She warns, however, that documents can be exploited by others. According to Owen (2014: 8), document reading is part of an observational study or an interview-based project. Document analysis provides background information that can direct the design of a research project. Document analysis involves examination and interpretation of documents that combines content analysis and thematic analysis towards the main research questions (Bowen, 2009: 32). I agree with Owen (2014: 8), that document analysis used prior to an interview, can assist in confirming or refuting information. According to Corbin and Strauss (2008), in Bowen (2009: 27), document analysis requires that data be examined and interpreted in order to elicit meaning, gain understanding, and develop empirical knowledge. Labuscagne (2003), in Bowen (2009: 28), elaborates that the procedure to document analysis then entails finding, selecting, appraising (making sense of), and synthesising data contained in documents, to be then organised into major themes and categories. Bowen coincides with my triangulation approach in stating that there should eventually be a convergence of data though different data sources and methods (literature review, document analysis and semi-structured interviews in this study). This “confluence” of data provides credibility and reduces the impact of potential bias that can exist in a single study.

4.2.2 Document analysis: Advantages

Bowen (2009: 31-32) lists the following advantages of a document analysis:

- It requires data selection rather than data collection, which is less time-consuming and more efficient.
- Documents, especially public documents, are readily available from various sources.
- It is a cost-effective method in that data has already been gathered and must just be evaluated.
- Documents are unaffected by the research process (Lack of obtrusiveness and reactivity).
- Documents are suitable for repeated reviews (stability).
- Documents provide exact information and broad coverage.

4.2.3 Document analysis: Limitations

According to Bowen (2009: 31-32), the following limitations of document analysis also exist:

- As documents are produced for a certain purpose, they may produce insufficient detail.
- Access to some documents may deliberately be blocked (low retrievability).
- An incomplete collection of documents may lead to biased selection.

The advantages presented by document analyses certainly outweigh the limitations, and can only add value to this study.

4.2.4 Which documents to analyse?

Performance management systems for educators are collective agreements and the assumption is that they are a product of wide consultation with affected parties

and stakeholders. Public servants may be unhappy with the public performance management systems for various reasons, including aspects of the system that are not to their liking or the implementation of the system. Chapter 5 is devoted to exploring reasons for perceived dissatisfaction with the system, as well as the positives of the system for office-based educators, from the view of the employees. In order to gain insights into possible loopholes in the performance management scheme for office-based educators, it was prudent to do a document analysis of this scheme and compare such with a similar scheme in the public service. This research potentially uncovered similarities and work specific differences from which the viability of best practice could be recommended. The employee performance management documents under analysis, were;

- Collective agreement no 3 of 2017: EMS PMDS for office-based educators,
- Collective agreement no 3 of 2002: Performance management and development scheme for office-based educators,
- Policy on employee performance management and development system (EPMDS) of April 2018, and
- Policy on employee performance management and development system (EPMDS) of April 2016,

In order to recommend a comprehensive approach to employee performance management, its link to departmental strategic planning, monitoring and evaluation cannot be ignored.

Employee performance management systems are implemented within a framework of government planning, monitoring and evaluation. Analysis of the South African governmental planning, monitoring and evaluation system gives additional insights into what is expected with the implementation of performance management systems. The relevance of these documents to performance planning and monitoring in government is discussed in an integrated manner. The following government planning, monitoring and evaluation documents have relevance to employee performance management:

- Framework for strategic planning and annual performance plans (FSPAPP).
- Framework for managing programme performance information (FMPPI).
- Policy framework for the government-wide monitoring and evaluation system (GWME).
- Performance information handbook.

4.3 The government planning cycle

4.3.1 The policy framework for government-wide monitoring and evaluation

A basic principle of performance management is that there should, by and large, be congruence between organisational performance and employee performance. In plain terms, this would mean that employee performance should influence organisational performance. This should also be true for the public service as every government department qualifies as an organisation (community) with its own vision, mission, strategic goals and strategic objectives. It is my opinion that, for public employee performance management systems to be successful, they should be synchronised with the government planning, monitoring and evaluation cycles and concepts. Therefore, this study also focusses on government planning and reporting cycles, and their relationship with employee performance management.

According to the Policy Framework for Government-Wide Monitoring and Evaluation System (2007: 5), the first democratic government's first term of office focused primarily on the fundamental restructuring of the apartheid state into a modern public service, while the second term focused on the coordination and integration of government systems and services. The third term, however, shifted the focus to increasing effectiveness, so that a greater developmental impact is achieved.

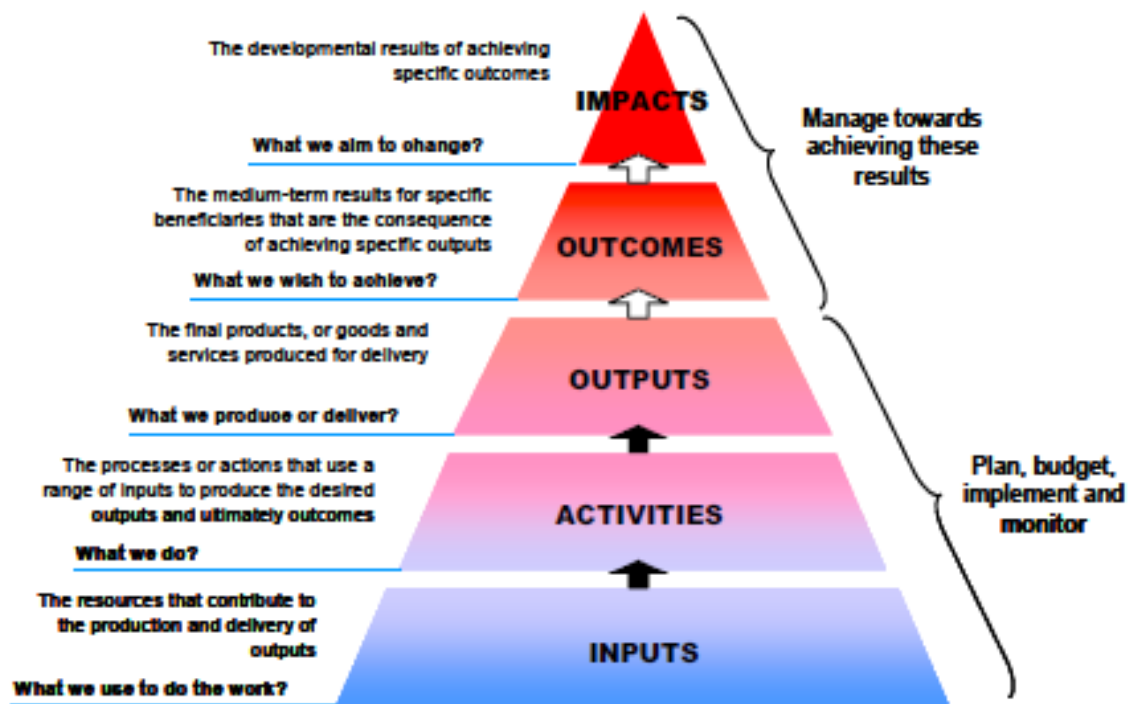
The release of the Policy Framework for Government-Wide Monitoring and Evaluation System (GWME) by the South African Presidency in 2007 could be interpreted as proof that the South African Government sees an urgent need for emphasis on Monitoring and Evaluation of Government Performance. I am of the opinion that this urgency around performance monitoring and evaluation should be taken right down to the implementers of government programmes; the employee. Williams (2002: 1-2) similarly observes that performance needs to be managed at both organisational and individual level. The EMS PMDS (2017: 14) concurs that employee output should be optimised to increase overall departmental performance. Emphasis should also be placed on the need to maintain, monitor and manage performance management systems.

4.3.2 The framework for strategic plans and annual performance plans

South African Government departmental performance management is regulated by the Framework for Strategic Plans and Annual Performance Plans (FSPAPP). The FSPAPP (2010: 1) is applicable to national and provincial government departments, constitutional organisations, as well as public entities in South Africa. Among others, it attempts to provide a framework for planning, monitoring and reporting to these organisations and ensure a level of uniformity.

The FSPAPP and the Framework for managing programme performance information (FMPPPI) (2007: 6) proposes a logical framework for planning as depicted below:

Figure 4: Logical framework



Government departments and public entities are to invest human resources and allocated budget (Input) to approved Activities that should yield certain Outputs annually. These Outputs should contribute to expected Outcomes over the medium term (3 – 5 years) and ultimately bring about an intended Impact over the long term (10 – 30 years). All Activities should be approved with requisite finances and human resources available. It is at the first three stages (INPUT, ACTIVITIES and OUTPUT) where human resources' (employees) performance management work plans should synchronise with organisational plans.

Departmental unit plans are approved only on the conditions that:

1. They respond to the departmental/ unit mandate,
2. finances are available, and
3. human resources (employees) are in place and capable to execute the plans.

Employees are expected to be able to execute their work within requisite working conditions and an approved budget. The highest level of approval for Departmental plans is the legislature in provinces.

The FSPAPP (2010: 2) makes provision for the identification of performance indicators. Performance indicators are also instrumental in determining the performance of individual employees. In an ideal scenario, if the planned Outputs were achieved, employees responsible for such would be deemed to have performed and thus, eligible for pay progression. If Outputs are exceeded and/or additional/ unplanned achievements are attained, those employees should contend for performance bonuses. It should be noted that not all employees would automatically qualify for pay progression/ performance bonus if outputs are exceeded. This is subject to verification of performance through the separate employee performance management processes. This concurs with the Framework for managing programme performance information (2007: 13) which states that performance information systems should be integrated with existing management processes. In summary, the verification of a government department's performance and that of its employees are separate, but related processes.

The achievements of Outcomes and Impact are complicated and thus, cannot automatically be linked directly to employee performance. Attainment of these two levels are dependent on many other variables, including the performance of all units within an organisation and the performance of other departments contributing towards them, as well as other variables. Importantly, the achievement of Outcomes and Impact can only be ascertained over a long period of time; longer than the year period that PMDS stretches. PMDS can be linked to Output because the achievement of Output can be ascertained over a year period through an external audit process.

The FSPAPP (2010: 9) refers to a performance agreement as a summary of duties and responsibilities linked to an appointment or position. This performance

agreement may include a performance-related incentive and reward system for managing employee performance. This is an acknowledgement of employee performance and related reward system. It further states that the performance agreement should also specify individual performance targets for officials. Performance targets are usually linked to performance indicators, referred to earlier. The FSPAPP links the timeframes in line with the Department of Public Service and Administration requirements. Although the FSPAPP do not mention PMDS for office-based educators, these public officials are required to adhere to the prescripts of performance planning, monitoring and evaluation as contained in the framework. Very importantly, is that the FSPAPP acknowledges the link of performance agreements to the achievement of the strategic plan, the implementation of the annual performance plan, and the review of employee performance in relation to the performance agreement.

4.3.2.1 Oversight of organisational performance

The verification of government organisations' performance is rigorous and subjected to scrutiny by various oversight bodies. The provincial offices of the premier have an oversight role to ensure that government departments' plans and monitoring systems comply with provincial and national norms, including the Framework for strategic plans and annual performance plans. This oversight takes place during planning and during in-year reporting. In the Northern Cape, this is augmented by an Internal Audit function that tests, not only the financial soundness of departments, but also the reliability of their performance information on the basis of usefulness and reliability. Internal Audit functions with an Audit Committee that reviews the departmental internal performance management controls, and recommends plans for improvement and risk management. This is ratified by the Performance information handbook (2011: 34). These interventions respond to audit findings and early warning signs of underperformance. The interventions of the Office of the Premier and Internal Audit can thus, be described as supportive and preventative. All this is in preparation for an annual external audit conducted by the Auditor – General (AG) on financial and performance

information. According to the Public Audit Act (PAA, section 20(2)(c) and section 28(1)(c), the AG is to conduct an annual audit on performance information (Performance Information Handbook, 2011: 59). This audit is required to reflect at least an opinion or conclusion on reported performance information against predetermined information. The final level of oversight is the provincial legislature. As representative of the general public, the legislature is to scrutinise departmental plans and reports to ensure that the public get value for money. The facilitation of oversight is covered in the Framework for managing programme performance information (2007: 15-16).

For all this oversight and scrutiny, government departments are to ensure that their plans respond to national and provincial priorities, and that their reports reflect performance in that regard. There is no reward for performance, but there should be consequences for underperformance. Furthermore, the audit processes, specifically on performance information to support performance reports, are rigorous, and there is no reason why employee performance should not feed into this system, especially with regards to performance information. It will be of great assistance to reduce duplication of performance information for inter-related systems. As departmental performance is audited both internally and externally, extra credibility is provided for employee performance management systems.

4.3.2.2 Oversight of employee performance

The system of verification of employee performance runs concurrently with departmental performance scrutiny for all provincial government performance monitoring systems, i.e. on an annual financial year basis. This is of much significance as departmental programme managers are responsible for managing programme performance information as stipulated by the framework for managing programme performance information (2007: 13). A downward oversight function is followed in public employee performance management - supervisors exercise oversight over subordinate performance, and each supervisor is also subjected to

a higher level of oversight- up to the HoD and Executive Authority. The oversight role of moderating committees amidst the process is crucial in making recommendations on employee performance scores. Auditing of supporting evidence for employee performance is an internal process, which is not as rigorously done as the audit of supporting evidence for the organisational performance, done by the AG. If the same supporting evidence is elevated for departmental performance, auditing by the Auditor-General (AG) is automatic and will give credibility to this evidence without increasing the workload of the AG.

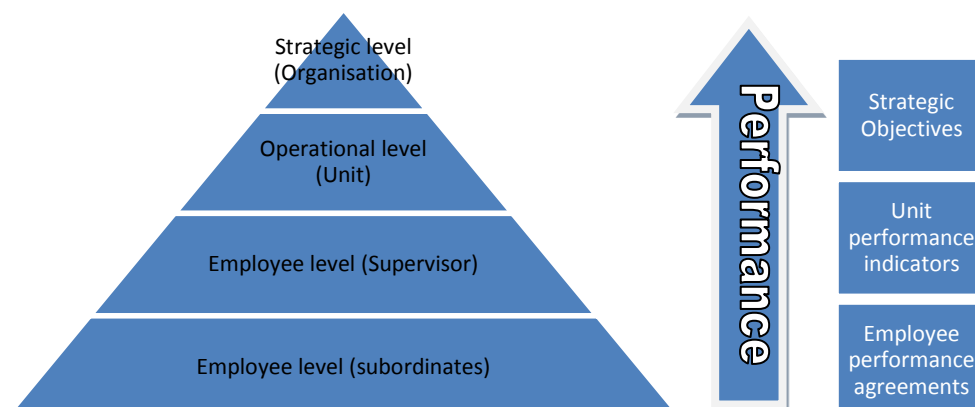
4.4 The relationship between performance agreements and strategic planning

The new PMDS collective agreement no 3 of 2017 (2017: 12) identifies three main levels of implementation namely; strategic level (organisational), operational level (unit), and implementation level (employee). This addition, which was absent in the collective agreement no 3 of 2002, strengthened my initial assertion that there should be a stronger link between organisational performance and employee performance. Although this link is acknowledged, it is not taken seriously or utilised effectively. At organisational level, objectives are determined that must be achieved at a predetermined time period. These are then assigned to departmental units at operational level. Each unit comprises individual employees who have to agree to their specific contribution(s) to the successful performance of the unit, which should then lead to the successful performance of the department. My critique against how the collective agreement no 3 of 2017 (RSA ELRC (Republic of South Africa, Education Labour Relations Council), 2017: 12) depicts the flow of responsibilities, is that it seems to be a top down approach e.g. “the Executing Authority and the HoD determine the strategic priorities and overall key results areas of the department.” Technically, this is correct as the political mandate is instrumental in determining the direction of a department. However, the operational input of employees is totally ignored in such a top down scenario. If employees have input at strategic level, it guarantees their buy-in and understanding of what must be done.

Although Agere and Jorm (2000: 3-4) only refer to a performance agreement, appraisal, coaching and rewards as elements that constitute a performance management system at provincial level, I would like to add to these and, at the same time, illustrate the parallels between organisational performance and employee performance.

Agere and Jorm (2000: 2-3) also make reference to improvement in the provision of public services at three levels namely, national, organisational and individual (employee). In terms of performance management, Simons (2009: 18) adds unit performance as another level between individual and organisational performance. There is a direct performance relationship between these spheres that I must elaborate on. Employee performance determines unit performance, which determines organisational performance (e.g. Provincial Education Department, municipality), which in turn determines national performance. It would then make sense to invest in the bottom performance level (employee performance) to ensure better performance at national level. One could equate this to investing in primary education in order to ensure good matric results. Good salaries and accountability systems may not be enough to ensure continuous improvement in employee performance. The following illustration, adapted from Costello (1993: 4) and including the collective agreement levels, depicts the interrelationship between organisational performance plans and that of employees:

Figure 5: Interrelationship between organisational performance and employee plans



The interrelatedness of KPAs with the achievement of organisational objectives is acknowledged in the policies, but only lip service is paid to it when it comes to execution. This contradicts the primary purpose of employee performance management and can be regarded as one of the main reasons why it sometimes fails. It was important for me to elaborate on how departmental performance works, in order to open the avenue of strengthening the performance management link. These processes should rightfully be managed separately, but there should be a point of convergence later, to ascertain if organisational objectives were reached as per the employee performance management aim. If objectives are not met, reasons for that can be sought in employee management outcomes in order to address shortcomings.

4.5 Comparison of PMDS and EPMDS in terms of core criteria

4.5.1 Aims of performance management

Contrary to some findings in the literature studies of chapter 3, the aim of PMDS, according to Collective agreement no 3 of 2002 (2002: 1), was not to be viewed as an additional administrative burden, but that it should be integrated into the normal work of staff and their supervisors. There is a great deal of synergy between the aims of the scheme, as set out in the collective agreement and what most literature studies, as mentioned in chapter 3, suggest it should be. The EMS PMDS also moved away from using the term “aims” and changed to “objectives” as is the case in the EPMDS documents. This, and other changes towards EPMDS terminology and approach, strengthens an argument for one uniform system for office-based officials in future.

Since the commencement of this study, both the collective agreement that guided PMDS and the provincial policy that guided EPMDS have been replaced. It then became important to do a comparative analysis of the aims/ objectives of each (old and new), in order to ensure that the research interview questions, which were

based on the aims/ objectives, were still relevant. The following table compares a summary of the aims/ objectives of both PMDS and EPMDS from the old to the new documents.

Table 3: Comparison of Aims/ Objectives

	PMDS 2002	EMS PMDS 2017	EPMDS 2016	EPMDS 2018
1	Improve performance against corporate goals by establishing a performance culture	Improve service delivery And Establish a performance and learning culture	Improve service delivery And Establish a performance and learning culture in the public service	Improve service delivery And Establish a performance and learning culture in the public service
2	Improve awareness and understanding of objectives and expectations	Ensure employees know and understand what is expected of them	Ensure job holders know and understand what is expected of them	Ensure job holders know and understand what is expected of them
3	Individuals know how their performance against standards are achieved			
4	Improve communication between supervisors and staff	Promote interaction between employees and supervisors	Promote interaction between job holders and supervisors	Promote interaction between job holders and supervisors
5	Evaluate performance fairly and objectively	Evaluate performance fairly and objectively	Evaluate performance fairly and objectively	Evaluate performance fairly and objectively
6	Identify developmental needs	Identify, manage and promote developmental needs	Identify, manage and promote jobholders' developmental needs	Identify, manage and promote jobholders' developmental needs

	PMDS 2002	EMS PMDS 2017	EPMDS 2016	EPMDS 2018
7	Manage unsatisfactory performance	Manage categories of performance that needs to improve and manage unsatisfactory performance	Manage categories of performance that are not fully effective and lower	Manage categories of performance that are not fully effective and lower
8	Provide a basis for rewards		Recognise categories of performance that are fully effective and better	Recognise categories of performance that are fully effective and better

From the comparative table 3 above, it is clear that the aims/ objectives of both PMDS and EPMDS have remained, by and large, the same. The only difference is that the Collective agreement no 3 of 2017 (2017: 14) did not make provision for a basis for rewards. Then too, the PMDS collective agreement no 3 of 2002 (2002: 1) had an additional aim that individuals should know how their performance against standards is achieved, which was never repeated in the new collective agreement. Furthermore, the themes across the different documents are, by and large, the same. In fact, it was very notable that PMDS had moved towards adopting almost the exact wording used in EPMDS. This strengthens my assertion that these two performance management systems have the same objectives and could be merged into one, to be implemented for both sets of employees (office-based educators and employees appointed under Public Service Act no 103 of 1994). My choice to use the aims/ objectives of both systems as the basis for semi-structured interviews, is thus, vindicated.

PMDS is described by its designers as a move away from previous judgmental and inequitable performance management schemes in Education. By departing from judging past performance, PMDS attempts to shift the emphasis to constructively improving future performance. Ironically, it could well be a reflection on past performance that is the source of dissatisfaction with employees, and that stunts the effectiveness of the scheme. There is an assumption that the participatory process between supervisor and subordinate will be honest, positive

and transparent. With human nature being so diverse, it is likely that differences of opinion will jeopardise employee relations. Lastly, there is a slight difference in focus between the aims and the principles of the scheme, in that the former advocates objective evaluation, whilst the latter relates to minimising subjectivity. There is an admission that subjectivity will be present and should be minimised.

It is unfortunate that the first aim of both systems already contains negative assumptions. "Establishing a performance culture" assumes that no such culture existed in the first place. A phrase like "maintaining a performance culture", would have been a more balanced aim. "Likewise, "improve performance against corporate goals", would presuppose that there might be poor corporate achievement of goals and/or that there may be no linkage between corporate goals and employee performance. This leaves a strong argument to include questions on links between employee performance and the achievement of corporate goals in my semi-structured interviews.

4.5.2 Performance management cycles

The cycles of both employee performance management cycles coincide with the government departments' planning and monitoring cycle- 1st April to 31st March of the following year. There is also a common cycle of drafting and submitting employee performance documents, as well as implementing, monitoring and evaluating the system.

4.5.3 Performance assessment documents

Departmental performance management has specific documents related to it e.g. strategic plan, annual performance plan, and annual report. Likewise, there are four documents that are central to employee performance management i.e. the job description, the performance agreement, the work plan, and the personal development plan. In this study, I refer to the combination of all these documents

as the employee performance documents. Employee performance documents should ideally be signed before the start of the performance year (financial year).

4.5.3.1 Job Descriptions

Job descriptions are derived from the organogram and are subject to a job evaluation process. The organogram, in turn, should be designed around achieving the organisational strategic objectives. It fulfils the human resource requirements. EPMDS (2018: 12) describes the job description as the base document in the performance planning process which outlines the purpose of a job, its main objectives, and its inherent requirements. EMS PMDS makes provision for predetermined job description for office-based educators through the Collective Agreement no 3 of 2017. These job descriptions include the key performance areas, job purpose, competencies, knowledge and skills.

4.5.3.2 Performance agreements

A performance agreement is an agreement between two (or more) persons with similar obligations and it defines the expected performance levels and any consequences that one may face if they do not meet the agreed standards. The elements of a performance agreement include mutual assent, offer and acceptance and consideration. A performance agreement is thus a binding agreement between employer and employee, that guarantees the operationalisation of the strategic plan and commits to its execution. This statement concurs with the EPMDS policy (2018: 12), which states that a broad spectrum of departmental and employee plans should be reflected in it. Although the signing of a performance agreement is standard in EPMDS, no provision was made for such in the PMDS Collective agreement no 3 of 2002. The EMS PMDS (2017: 15) though, adopted this element from EPMDS which must be signed within one month of the start of the new cycle. The performance agreement is linked to the job description which, in turn, is derived from the organogram. Performance

agreements are probably the most important elements of employee performance management and contain the key performance areas and “subjective” performance criteria with their respective ratings.

Performance agreements can be defined as the need to identify and agree on the job role and what is to be achieved, how success will be measured, identifying key relationships and suggesting improvement plans. In the South African governmental context, national ministers are required to sign performance agreements with the presidency as well as with their provincial understudies (Provincial Members of Executive Councils). Likewise, performance agreements are required between Heads of Departments and senior managers, between senior managers and managers ... and so it should cascade down to the lower level employees. By signing a performance agreement, an employee commits to agreed performance levels given requisite human resources, financial resources, adequate support, and the application of his/her skills.

4.5.3.3 Work Plans

The Cambridge online dictionary refers to work as "an activity, such as a job, that a person uses physical or mental effort to do, usually for money" (Cambridge dictionary, n.d.)⁶. A Plan is defined as "a set of decisions about how to do something in the future" (Cambridge dictionary, n.d.)⁷. The work plan can be compared to the operational plan of the departmental performance system, and contains the finer details of what must be done. The key performance areas are carried over and then collapsed into outputs/ activities, time-frames, performance indicators, resource requirements, and enabling conditions, as noted in the Collective agreement no 3 of 2017 (2017: 37). The work plan makes provision for KPAs, activities, targets and target dates. Although a work plan should be as

⁶ <https://dictionary.cambridge.org/dictionary/english/work>

⁷ <https://dictionary.cambridge.org/dictionary/english/plan>

comprehensive as possible, one should also be mindful of not making it too cumbersome.

My preference in terms of a work plan is that, similar to the provincial EMPDS of 2016, KPAs are linked to activities with related performance indicators, targets and dates. This will also mirror how annual performance plans at departmental level are constituted, except that strategic goals are linked to strategic objectives with related performance indicators and targets. The employee performance management indicators can be elevated to the departmental plan if they are strategic in nature.

4.5.3.4 Personal Development Plans (PDP)

Through the personal development plan (PDP), employees are afforded the opportunity to identify their training needs. Currently, PDPs are signed and submitted as part of the performance documents at the beginning of the year. This applies to both systems, and can be interpreted as already admitting to skills deficiencies before employees even started to work. Both systems though, purports that identified training is based on the previous years' performance assessment outcomes. The relevance of the previous years' assessment outcomes comes into question if the employees' responsibilities are going to change in the following year. For the majority of employees, the responsibilities will remain the same, but the requested training for development may only become a reality late in the following year; budget and other factors permitting. A possibility exists that employees may submit training needs that are not related to their work, but are more of a personal preference. The consequence is that HR practitioners sit with a myriad of training needs and a limited budget to cover them. An employee performance management system should automatically highlight training needs specific to an employee, instead of an employee identifying his/her own needs.

4.5.4 Objective assessment

The most contentious aim of PMDS is to assess performance fairly and objectively. Objectivity is the one aspect that stands out in the literature review as one of the reasons why performance management systems fail, particularly because human interaction cannot be predicted. Performance indicators, that are linked to activities in KPAs, should be matched with those contained in the departmental annual performance plan. This presents a credible and objective opportunity for assessment, precisely because the same supporting evidence will be required for employee and departmental performance. Despite this, one cannot discount the possibility of human manipulation that power relations can bring. Therefore, the crafting of employee performance documents is a specialist task, and training should be provided for it, or it should be executed by specialists in human resource development.

To add to the objectivity aspect, employees who are scored above average are required to submit supporting evidence in lieu of that. In this regard, the departmental performance management system is a bit more advanced in that it has a technical indicator descriptor which predetermines what will constitute auditable evidence. This requirement of a technical indicator descriptor is contained in the Framework for strategic plans and annual performance plans (2010: 40). This technical indicator descriptor can also be brought into employee performance management as it adds to consistency in approach and common understanding of systems.

4.5.5 Subjective assessment

Apart from key performance areas, employees are also to be scored against Core management criteria (CMCs). CMCs account for what I term the “subjective” criteria of employee assessment. Although it only accounts for 30% of the employee’s assessment score as provided for in Collective agreement no 3 of

2017 (2017: 17), it is really open for human interpretation and manipulation. Subjective assessment (called Generic Assessment Factors [GAFs]) accounted for 20% of the total score in the previous Policy on employee performance management and development system (2016: 13). In the reviewed EPMDS policy (2018: 23), it is not required to be weighted, but to be incorporated and assessed in an integrated manner with the KPAs. In my semi-structured interview questions, I factored in the possibility of two supervisors assessing the same subordinate on CMCs. The possibility of arriving at different scores is great because of the elements of human interpretation and purposeful manipulation. This can be compared to the interview as a selection model as described by Morgan (1997: 123), whereby different interviewers would have contrasting scores for the same candidate, rendering very low correlation and validity. Carroll and Schneier (1987: 142) attribute this phenomenon of contrasting scores for the same rate to the judgmental aspects of appraisal.

PMDS Collective agreement no 3 (2002: 5) refers to these subjective criteria as capabilities. Previously, EPMDS (2016: 12-13) made provision for CMCs applicable to salary levels 9-12 (middle management), and Generic Assessment Factors (GAFs) applicable to salary levels 1-8. The new EPMDS (2018: 15) discarded CMCs and only included 15 GAFs. EMS PMDS Collective agreement no 3 of 2017 discarded capabilities and adopted the term CMCs. The changing of criteria and terminology does not take away the subjective nature thereof. The following self-designed comparative table gives an indication of how criteria and terminology changed for both schemes;

Table 4: Subjective criteria for PMDS and EPMDS

	PMDS 2002	EMS PMDS 2017	EPMDS 2016		EPMDS 2018
	Capabilities	CMCs	GAFs	CMCs	GAFs
Weighting	5 Apply to all staff. Additional 4 applicable to supervisors only. Capabilities can be added or subtracted.	Makes up 30% of the final assessment. All compulsory. 4 have fixed weighting. Weighting of remaining 3 to be agreed upon between supervisor and subordinate. Minimum weighting is 5% and maximum is 20%	For salary levels 1-8. Makes up 20% of final score. Supervisor and subordinate must agree on at least 5. Minimum weighting is 10% and maximum is 40 per GAF.	For salary levels 9-12. Makes up 20% of final score. Supervisor and subordinate must agree on at least 5. Minimum weighting is 10% and maximum is 40 per GAF.	Integrated and assessed with KPAs. Select appropriate GAFs per KPA.
rating scale	5- point rating against elements specific to each capability	<ol style="list-style-type: none"> 1. Unsatisfactory 2. Needs to improve 3. Competent 4. Good 5. Excellent 	<ol style="list-style-type: none"> 1. Unacceptable 2. Not fully effective 3. Fully effective 4. Significantly above expectation 5. Outstanding 	<ol style="list-style-type: none"> 1. Unacceptable 2. Not fully effective 3. Fully effective 4. Significantly above expectation 5. Outstanding 	<ol style="list-style-type: none"> 1. Not effective 2. Partially effective 3. Fully effective 4. Highly effective
1	Job knowledge and application (All staff)	Job knowledge and application (20%)	Job knowledge		Job knowledge
2				Technical skills	Technical skills
3		Acceptance and responsibility	Acceptance and responsibility		Acceptance and responsibility
4			Quality of work		Quality of work
5			Reliability		Reliability
6			Initiative		Initiative
7	Communication (All staff)		Communication	Networking and building bonds	Communication

	PMDS 2002	EMS PMDS 2017	EPMDS 2016		EPMDS 2018
	Capabilities	CMCs	GAFs	CMCs	GAFs
8	Interpersonal relationships (All staff)	Interpersonal relationships (10%)	Interpersonal relationships	Managing interpersonal conflict	Interpersonal relationships
9			Flexibility		Flexibility
10			Team work		Team work
11	Job performance (All staff)		Planning and execution	Planning and organising	Planning and execution
12	Operational leadership and Visionary leadership (Supervisors only)	Leadership abilities (20%)	Leadership	Team leadership	Leadership
13			Delegation and empowerment		Delegation and empowerment
14			Management of finances ...	Budgeting and financial management	Management of financial resources
15			and Management of personnel		Management of human resources
16	Client service (All staff)	Service to stakeholders (10%)	Client service focus	Customer focus and responsiveness	
17	Conceptual and analytical skills (Supervisors only)	Conceptual and analytical skills		Problem solving and decision making	
18	Equity (Supervisors only)			Diversity management	
19				Applying technology	
20				Continuous improvement	
21				Impact and influence	
22				Applied strategic thinking	
23				Developing others	

	PMDS 2002	EMS PMDS 2017	EPMDS 2016		EPMDS 2018
	Capabilities	CMCs	GAFs	CMCs	GAFs
24			Quality of supervision		
25			Work output		
26			Performance under pressure		
27			Safety mindedness		

Table 4 above, not only displays the name changes these subjective criteria underwent, but also the commonalities thereof. The presence of so many commonalities strengthen the argument for a single public service employee performance management system. The advantages of a 4-point rating scale will obviate the “central tendency and leniency” factor described in PMDS Collective agreement no 3 of 2002 (2002: 15-16). It is found that some supervisors will avoid the responsibilities of honest assessment by average (central tendency) or high (leniency) scores and thereby, leave the realistic assessment and subsequent adjustments up to moderating committees. The blame for reduced scores is then avoided and apportioned to an impartial committee. Although there are attempts to divide these criteria for supervisors and subordinates across both systems, it is the application thereof that is more contentious. Therefore, I saw it fit to question participants in the semi-structured interviews on the value of these criteria in employee performance management.

4.5.6 Performance review and feedback

Given that the ideal is that performance management should not impede the normal workload of the employee, the question arises as to how often performance reviews and feedback should be held. Both systems advocate ongoing discussion and feedback as part of daily operations. Jerome (1998: 9) concurs that feedback should be informal and part of daily operations. However, some sort of formal process should ensue during the year. EMS PMDS (2017: 19-

20) requires that performance reviews and feedback be given as often as possible. Quarterly reviews are stipulated, of which quarters 1 and 3 may be oral, but in writing if performance is below competent. Quarters 2 and 4 are to be formal and in writing, of which quarter 4 will also constitute the annual assessment.

Collective agreement no 3 of 2002 (2002: 6-7) suggests that regular feedback on an issue-by-issue basis is preferable to prevent “surprises” that might arise in one session. Provision was made for quarterly and an annual review. A total of 9 forms was part of the process and EMS PMDS (2017) addressed this administrative burden adequately.

EPMDS (2016: 15) made provision for two compulsory formal assessments (mid-year and annual). The new EPMDS (2018: 25) placed emphasis on the continuous assessment factor and adopted the quarterly assessment approach of EMS PMDS whereby quarters 1 and 3 may be oral, but in writing, if performance is below competent. Quarters 2 and 4 are to be formal and in writing, of which quarter 4 will also constitute the annual assessment.

Continuous communication on assessment during planning and implementation, as well as after completion, is ideal and in this regard both systems are spot on. I also agree with the semester approach of the formal assessments.

4.5.6.1 Upward feedback

PMDS Collective agreement no 3 (2002: 12) was the only public employee performance management scheme that made provision for upward feedback. This was subsequently discarded by EMS PMDS of 2017. Upward feedback professed to add valuable integrity and credibility to the system by recognising that feedback is a two-way process. Through upward feedback, supervisors were afforded the opportunity to gain valuable insight on how their subordinates view their management of the unit.

Two stages of upward feedback were proposed to take place. Firstly, a one-on-one informal discussion takes place, of which no formal recording is necessary. The second stage is where the staff compile a formal, written feedback against set criteria (communication, delegation, leadership/ teamwork, planning, concern and respect for staff) for submission to the supervisor and the next level supervisor. The supervisor gets an opportunity to seek clarity on certain aspects and the next level supervisor takes the upward feedback into consideration when assessing the supervisor.

I personally found the concept of upward feedback very appealing and could not fathom why it was discarded in the new EMS PMDS. It was also identified in the literature study as a valuable component of objective assessment (Ainstey et al. (1976: 41-45) and Simons (2009: 28). Therefore, I endeavoured to gauge the implementation thereof during semi-structured interviews. Upward feedback is an excellent opportunity to accentuate possible harmful power relations. Given that it includes a group assessment, the chances of a more reliable assessment of the supervisor's management of the unit improves. It is also possible that a strong-willed subordinate may dominate the group discussion and eventual assessment, but the chances of this persisting over the long run is remote.

4.5.7 Moderation

Moderation committees are unique to the public service as the private sector does not really implement such a higher level component to ratify scores. Do moderation committees have a place in the system and how effective are they? This is the question I derived from reviewing moderation committees and from personal experience. I added this question to my semi-structured interviews with participants from OTP and NCDOE.

EMS PMDS (2017: 22) lists the purpose of the moderating committee as ensuring equitable and consistent assessment across the department. Apart from the possibility of unrealistic scores because of skewed power relations, human perceptions and interpretations can be diverse. This justifies the existence of moderation committees. The provincial moderation committee is prescribed in EMS PMDS (2017: 23), and established by the head of department. It consists of, amongst others, the head of human resource management (chairperson), two representatives from senior management, and the PMDS coordinator. The constitution of this committee, in my mind, provides for expertise only and smacks of a top down approach. The representation of lower ranked officials is not included, not even by way of labour unions. I recommend the inclusion of head of the departmental monitoring and evaluation unit/ representative at moderation level. The monitoring and evaluation unit can highlight performance issues from a departmental level. The inclusion of an external component might also be worth exploring.

The preceding PMDS Collective agreement no 3 of 2002 (2002: 14-15) had a more cumbersome process of moderation. The first level of moderation is about supervisors ensuring that work plans are commensurate with the requirements of the job and of equal value. The second level of moderation is where supervisors take the opportunity to compare preliminary scores with peers. It provides opportunity to adjust ratings. This lengthy process is cascaded upwards to ensure consistency in ratings. The head of department heads the central moderating committee at the third level of moderation. The aim of all this moderation is built on the premise that 90-95% of scores will fall within scores of 2-4. Skewed ratings have to be explained by supervisors. Much as this might hold a power hungry supervisor accountable, the process seems too cumbersome and built on a flawed expectation. This collective agreement acknowledges that any form of employee assessment will be imprecise, and that an obsession with complete consistency is a waste of time. The consistency part of the last statement is a contradiction in terms, and although I agree that there will be instances where employee performance assessment will be imprecise, the aim of an employee performance

management system should be to reduce such instances. Needless to say, I favoured the replacement of this process with EMS PMDS.

Both EPMDS policies (2016 and 2018 versions) make provision for a two-pronged approach to moderation. The first level of moderation is vested in what is called the Intermediate review committee (IRC). According to old (2016: 17) and new (2018: 28) EPMDS policies, the IRC receives the provisional assessment rating (PAR) signed off by the supervisor and subordinate, considers motivations provided, and makes recommendations to adjust scores, amongst others. After interaction with relevant employees, the IRC submits validated assessments ratings (VAR) to the departmental moderating committee (DMC). The DMC may consist of senior managers, and this reignites my top down approach and representivity concerns. The DMC does not review individual cases, but looks at overall departmental consistency and fairness. From this process, recommendations on rewards are made.

4.5.8 Reward

Employee performance management can also provide a basis for rewards for outstanding performance. It is with this aim that most controversy arises. Although most employees may feel that they qualify for performance rewards, not all can, or will likely, get them. A big bone of contention between PMDS for office-based educators and EPMDS for employees appointed under the Public Service Act no 103 of 1994, is that the EPMDS employees can qualify for a performance bonus, additional to the pay progression that both systems provide for.

Like its predecessor, the reviewed EMS PMDS (2017: 2) refers the basis for decisions on rewards to the applicable regulations in terms of the Public Service Act (1994: 14). EPMDS (2016: 21-23) employees could also qualify for a financial reward for performance that was outstanding or significantly above expectations. This cash bonus was determined on a predetermined sliding scale. The DMC was

to ensure that the amount allocated for performance bonuses stays within 1,5% of the remuneration bill. Employees could qualify for a performance bonus of up to 14% (SL 11-12) and 18% (SL 1-10) of their actual salary notch. Additionally, all employees with scores of fully effective or higher, qualified for pay progression which amounted to 2% of the wage bill. The policy also made provision for the exploration of non-financial rewards such as special awards, attendance at conferences, increased work autonomy, and specialised training. This, to my knowledge and experience, was never explored. I saw it fit to also include in my semi structured interviews, a question on what other forms of reward other than financial were acceptable to public service employees.

The new EPMDS (2018: 31-32) only makes provision for a performance bonus for highly effective performance. Very importantly too, is that the awarding of performance bonuses is capped at a ceiling of 9% (Salary levels 1-12). There is no mention of exploration of non-financial awards, but the provision for pay progression was retained. The lowering of the performance bonus allocation is clearly for financial reasons, but surely non-financial rewards should be explored as well.

4.5.9 Development

PMDS (2018: 18) makes provision for employees to draft a personal development plan (PDP). The purpose is to identify historical or anticipated performance output shortfall. This translates into gaps between the job requirements and employee skills. The PDP is at the heart of the system and should receive more emphasis than rewards.

The PMDS' aim to identify and address developmental needs of employees is also worth investigating through a semi- structured questionnaire. Whether Education Departments have the budget and time to address the developmental needs of employees is worth exploring. The linkage between employee performance and

development and the Workplace Skills Plan (WSP) of the department is a notable omission from the aims of the current PMDS. Developmental needs are, not only associated with underperformance, but also even for performing employees who may need further development in one or other field. I translated this statement into a question for the semi-structured interviews- should development not be limited to underperforming employees? Consistent underperformance presents a challenge of a different kind to management. Proper implementation of PMDS may present grounds for disciplinary action in cases of consistent underperformance.

4.5.10 Training on performance management

In its aims (also called objectives), PMDS confirms that the employee's understanding of the work objectives and what is expected of them is lacking and needs to be addressed. First and foremost, though, the employees' understanding of the scheme itself could be a question worth investigating as it could be a source of misunderstanding. Collective Agreement no 3 of 2002 (2002: 16) provides topics to be included with training on PMDS. Inconsistent implementation of PMDS may cause confusion. This raises the question of how often training should be done, which I included in my semi-structured interview.

4.5.11 Dispute resolution

Both performance management systems purport to improve the communication between supervisors and their staff. As one of the semi-structured interview questions, I wanted to ascertain whether performance management indeed contributed to improved communication between staff and supervisors. It is a given that, if properly implemented, the scheme would force interaction between staff and supervisors. Where relationships have already soured, it would be difficult to imagine any improvement in communication because of forced interaction. From the findings of some studies in chapter 2, it emerged that a

scheme that stands in judgment of others is inevitable, would either lead to conflict or "bypassing" of the system.

In cases of disagreement with the outcome of the performance assessment, PMDS (2017: 26) stipulates that resultant grievances be dealt with in terms of Chapter G of the Personnel Administration Measures (PAM). PAM (2016: 178) seeks the speedy resolution of grievances, starting with a grievance to be lodged within 90 days from when the employee deems him/ herself to have been affected. The full grievance process up to the lodging of a dispute was not described as it does not fall within the purpose of this study. It would be of value, however, to ascertain if employees were satisfied with the grievance procedure, and so, such a question was incorporated in the semi-structured interview.

4.6 Findings and conclusion

My findings respond to the research questions for the chapter.

1. What information can be unearthed from a document analysis on employee performance management systems in the public service, that could add value to the aim of this study?

When comparing the aims of PMDS and EPMDS, apart from a play with words, very little difference can be discerned. This confirmed my decision to compare PMDS with EPMDS and not with IQMS for school-based educators, which has totally different operational dynamics. This also raises eyebrows as to why we have different employee performance management systems for office-based employees.

I could make a distinction between areas that lend themselves to objective assessment, and those that lend themselves to subjective assessments. Assessing performance against activities of KPAs with attendant performance indicators, is more objective as they can be substantiated by supporting evidence. Subjective criteria (CMCs and GAFs), although counting less in the final analysis,

are more subjective as they are up to interpretation and open for manipulation. EPMDS has moved towards assessment of these criteria (GAFs) within the KPAs, which makes a lot more sense, but is not fool-proof. It was also noticeable how many of the subjective criteria PMDS and EPMDS have in common.

The assessment rating scales lend themselves to abuse of the central tendency option for both supervisors and subordinates. Despite the provision of guides, the difference between “significantly above expectation” and “outstanding” was still open for interpretation and abuse. EPMDS, once again, moved positive in this regard to a 4-point rating scale that forces a divide between effective and not effective.

Both PMDS and EPMDS advocate regular review and feedback both formally and informally (also as part of daily operations). Organisational review happens quarterly, and if employee assessments should feed into that with regards to supporting evidence, then it should also take place quarterly. Processes should be streamlined to avoid them becoming time-consuming - which might be the reason why there is a move towards the formal/ informal arrangement. Upward feedback just has too many advantages to be discarded as EPMDS did. Its potential in keeping a power-hungry supervisor at bay, is immense.

Moderation committees do have a place in the employee performance management field, but its composition and functions needs to be reviewed. The composition should have balance in representivity, and roles should be expanded in verifying actual performance.

Performance rewards have a rightful place and purpose in employee performance management. However, the monetary bonus reward in EPMDS causes a lot of disgruntlement and should, in my view, be discarded. Monetary incentive should be confined to notch increases for good performance. Other non-financial reward systems should be explored as well. Provision for continuous development of all employees is not negotiable.

2. How are employee performance management systems in the public service linked to government planning, monitoring and evaluation systems?

There is a need for proper management of performance at both organisational and employee level. More emphasis must be placed on employee performance so that it automatically optimises organisational performance. It seems that employee performance management is not taken seriously. From the logic model presented in the FSPAPP and FMPPI, it is clear that human resources operate at the lower levels. Together with Finances and a conducive environment, human resources make up the Input at the lowest level of the logic model, which must provide the Activities that must lead to achieving organisational objectives. Human resources and finances are equally critical for the execution of activities. While finances can be compromised by issues such as mismanagement or poor budgeting, human resources can grapple with similar restricting issues such as lack of skills and harmful power relations.

The translation of Activities into Outputs is done through performance indicators. It is here where the synergy between organisational performance and employee performance gets lost in translation. The performance indicators in the Annual Performance Plan (APP) may not be reflective of the performance indicators in employee work plans. It is noted that the APP indicators are pitched at a higher strategic level and do not have to match employee performance indicators verbatim. Also, not all unit level indicators have to be included in the APP.

The achievement of Output and resultant Outcomes should be reflective of unit performance. If there is an anomaly in this regard, it should be taken into account during the employee performance management process. The pinnacle of performance management can be presented as Organisational performance = Head of Department (HoD) performance.

Organisational performance is subject to very strict audit and oversight. This audit includes auditing of performance information. Oversight at employee performance management level is limited to moderation committees which are mostly made up

of senior managers. Such a system exacerbates the problems that power relations bring. Furthermore, there is no clear description in PMDS or EPMDS of what constitutes supporting evidence. Emphasis is placed on supporting evidence that proves that an employee has exceeded what was expected per work plan. There is no monitoring of employee evidence to support achievement of organisational objectives. It is up to the unit manager to put systems in place for collecting and storing only supporting evidence in support of organisational performance. The performance monitoring system for employee performance should lead up to organisational performance monitoring. Employee supporting evidence should be the basis of organisational performance evidence, without necessarily increasing workload. If organisational supporting evidence is audited, it should mean that employee performance evidence was also audited. This would bring credibility to supporting evidence as opposed to different moderating committees applying different criteria for accepting supporting evidence.

Chapter 5. Presentation and analysis of qualitative data

5.1 Introduction

The third component of data gathering focuses on a qualitative approach of engagement with the participants in public performance management. There are specific research questions that needed to be answered through this approach.

These are:

- Are the aims of public performance management systems (PMDS, EPMDs) being realised?
- What are the perceptions of officials engaged in public performance management systems on the effectiveness of the system?
- What are the positives/ advantages of the different public performance management systems?
- What recommendations can be elicited for consideration in a performance management system for office-based educators?

This chapter is devoted to the interpretation of gathered information through the semi-structured interviews. I discuss what is positive or negative on the employee performance management system for office-based educators and employees appointed under the Public Service Act no 103 of 1994. The analysis approach will follow the same order as the semi-structured questions. As both PMDS and EPMDs participants responded to the same questions, part of the analysis includes juxtaposing responses from the two systems (including responses from EPMDs employees at the Office of the Premier and those from the NCDOE).

5.2 Findings from literature studies and document analysis that informed semi-structured interviews

In terms of a qualitative study, Henning (2004: 3-4) states that the researcher can explain an argument by using evidence from the data and from literature. The researcher must not be confined to boundaries from instruments that were designed beforehand. From the literature study and document analysis, certain themes and findings emerged that could inform what first-hand information could still be gathered from semi-structured interviews with employees. Themes are represented by identified concepts central to employee and departmental performance management on which suggestions for a possible approach could be made. Various perspectives from available literature and from the private sector, gave valuable insight into pitfalls and solutions to employee performance management. By comparing the two public sector employee performance management systems (PMDS and EPMDS) through a document analysis approach, the possibility of borrowing from good practices opens. The aims of both systems were a good yardstick to use for further enquiry.

5.2.1 Employee performance vs departmental performance

From the literature review, it emerged that these are separate but related processes, informed by different policies and executed by different sections. I found the related part cosmetic in that it is acknowledged in policy, but not in practice. KPAs and work plans should feed into achieving strategic objectives, but performance is assessed separately and in no way checked for correlation. I thus formulated questions on how and when job descriptions, performance agreements and work plans are formulated; if they are linked to strategic objectives and if they contribute to improving corporate goals. This should be applicable to PMDS and EPMDS.

5.2.2 Understanding the job and the performance management systems

The employee performance management documents suggest that employees know what is expected of them and how they can achieve, even exceed expectations. I wanted to determine if the planning process was a top down approach which relegates subordinates to mere foot soldiers that do not have a say in how things could best be done. This would explain if the compilation of employee performance documents was a mere formality for a system that is not taken seriously. From literature review, it is evident that employees are happier in their work when they have a say in what should be done. The same would apply to having input into the system that would determine how their performance will be measured. It needed to be ascertained if training on the system was done adequately and regularly.

5.2.3 Forced interaction between supervisor and subordinate

Interaction between supervisor and subordinate is inevitable in a unit where all officials should be planning and working together to achieve the planned results apportioned to the unit. Although both employee performance management systems advocate continuous interaction during planning and execution (document analysis), the interview process presents an unnatural face-to-face interaction on an uncomfortable topic, which can be compared to a job interview. A good relationship between supervisor and subordinate does not make the interview process less uncomfortable; as fairness, objectivity, honesty and integrity is required. It was, therefore, important to question participants whether their relationship with their respective supervisors was ever compromised because of employee performance management. The ever present possibility of power relations playing out would be uncovered by questions on whether participants reverted to alternative options to prevent conflict.

5.2.4 Objectivity

There are admissions from both the literature reviews e.g. Ainstey, Fletcher and Walker (1976: 19), and from employee performance management systems, notably collective Agreement no 3 of 2002 (2002: 14), that subjectivity will probably never be eliminated altogether. However, the inclusion of various subjective criteria in the system is not a move away from exposing employees to discussion and scoring on these criteria, which have potential for conflict. I also ventured to gauge participants' views on these criteria. Despite the quest for fairness and objectivity, motivation may be affected adversely. Ironically, motivation is the key reason behind a controversial aspect of employee performance management; reward.

5.2.5 Reward

The implementation of the reward system in performance management is a cause of the dissatisfaction with PMDS, as highlighted in newspaper reports referred to in chapter one. This dissatisfaction gives impetus to this study, which seeks to propose, amongst others, alternative approaches to the reward aspect of employee performance management. Reward is meant to be a by-product of employee performance management that acknowledges performance that exceeds expectations. However, all employees would like to believe that they are deserving of reward and it is up to the supervisor and moderating committees to fulfil this unenviable task of determining who gets reward. The power that determination of reward places in the hands of some supervisors, was identified as the culprit that bedevils the system. Reward is the most important aspect that determines if employee performance management in the public service is successful. Notably, PMDS employees only receive a notch increment for satisfactory performance as opposed to the additional performance bonus (monetary) in EPMDS. Employees' comparison with colleagues who received rewards contributes to dissatisfaction, disillusionment and conflict; quite the opposite of the aims of employee performance management.

5.2.6 Development

Personal development, meant to aid organisational performance, is the most important aim of employee performance management. It must, first of all, be distinguished from training on the employee performance system itself. Capacity to implement development programmes is the main problem that emerged from literature studies. With the limited budgets available, it requires excellent planning via the departmental Workplace Skills Plan to prioritise development training to improve organisational performance. Who should get training and whether the PDP is also just a paper exercise, are the questions that were asked.

5.2.7 Questions of clarification

Literature reviews suggest that employee performance management processes should be seamless and not a formality or an administrative burden. Other than endless paperwork, I needed to explore if there were others ways of assessment that would not detract from the workload most employees had. It was important to consider how important employees rated performance assessments and whether they should be included in the employee performance documents to ensure that they are taken seriously.

From the literature studies and document analysis of Collective Agreement no 3 of 2002, emerged the phenomenon of upward feedback, which was omitted in the latest EMS PMDS (2017). I found upward feedback to be a very good leveller of subjectivity in the performance assessment of supervisors. Input from multiple stakeholders, as opposed to one-on-one situations, provides some objectivity that can minimise the influence of power-hungry supervisors. Why upward feedback was discontinued, is a mystery.

Apart from information gathered from literature reviews, I also deemed the views of the employees affected by performance assessment important in terms of highlighting positive aspects of the respective systems and proposing improvements to the systems. Information gathering would not be complete if it did not include questions directed to the implementers of employee performance management and officials from labour relations who had to deal with the disputes arising from the dissatisfaction in the system.

5.3 Analysis of semi-structured interviews – Responding to Aims of PMDS

5.3.1 Improving performance/ service delivery

Both performance management systems (PMDS and EPMDs) have improvement of performance as an aim. This improvement is measured against the achievement of set corporate goals or service delivery objectives. The semi-structured questions were directed at ascertaining whether employees understood the link between organisational objectives as contained in the departmental Annual Performance Plan and their own job description, work plan and performance agreement. I also wanted to determine if there were systems in place that ensured that all these components spoke to each other.

5.3.2 Linking of job descriptions, work plans and performance agreements to improve corporate goals

A governmental job is evaluated first before it is advertised according to the prescripts of the organogram (Key Performance Areas and other requirements). However, when a person is appointed, they are required to draft a job description, work plan and performance agreement with their supervisor. If the job description, work plan and performance agreement do not correlate with the advert and organogram requirements, the possibility exist that departmental objectives may

be compromised. PMDS circumvents this, to an extent, as it already provides for the purpose, KPAs, competencies, knowledge and skills required for every office-based educator job in the Collective agreement no 4 of 2017- Job descriptions for office-based educators. Furthermore, there should be systems in place to ensure that all the requirements of a job lead to the attainment of strategic goals and objectives, as contained in the departmental Annual Performance Plans. Random changing or adaptation of job requirements to suit the whim and fancy of employees could be detrimental to the achievement of organisational goals and objectives. It is noted that job circumstances cannot be static, which necessitates a change in key deliverables.

With the exception of participants 4 and 5, office-based employees under PMDS indicated that they had job descriptions, performance agreements and work plans in place before the start of the financial year. It is a requirement of both systems that these documents be signed and submitted by the end of the second month of the financial year. These documents were, by and large, linked to the job advert and departmental organogram, but there was also a sense from participants 1, 2 and 5, that their operations had changed over the years. Participants 1 and 2 indicated that these documents were basically carried over from the previous year. Participant 5 raised a very interesting point that performance agreements were not mentioned in terms of the Collective Agreement no 3 of 2002 (PMDS). Upon closer scrutiny of the Collective Agreement, I found this to be true. The new collective Agreement, no 3 of 2017, actually referred to the Performance Agreement in addition to the Work plan and PDP of Collective Agreement no 3 of 2002. The significance of the Job Description in both old and new Collective Agreements came into question, as well as its relationship with the Performance Agreement and Work Plan.

EPMDS employees at OTP had their Job Descriptions, Work Plans and Performance Agreements in place at the start of the financial year and they indicated that there was synergy between these documents and the advert and organogram. However, their counterparts at NCDOE were divided on these

documents being in place at the start of the financial year. The introduction of a new provincial EPMDS policy was cited as reason for the documents not being in place. There were also indications of differences with the original advert of the post.

The synergy between performance documents is important in the quest to improve organisational goals and objectives. If there is no adherence to, and consistency with, the requirements of employee performance, it can adversely affect organisational performance; contrary to the aim to improve such.

5.3.3 Linking departmental objectives with performance documents

A further question sought to ascertain if participants actually knew which objective in the Departmental Annual Performance Plan was linked to their Job Description, Work plan and Performance Agreement. With the exception of participant 10 (partially recalled), not one of the other participants (PMDS and EPMDS) knew the exact wording of the strategic objective linked to their Job Description, Work Plan and Performance Agreement. As Job Description, Work Plan and Performance Agreements flow from the strategic objective, it is expected that managers would know and have input in the crafting of such. They would then be in a position to assist subordinates with the crafting of their specific job descriptions, work plans and performance agreements.

The NCDOE actually tracked the number of school and office based educators evaluated using their respective performance appraisal instruments indicators in the 2016/17 financial year. The 2016/17 NCDOE Annual Report (2017: 41) reported that the targeted number of office-based educators evaluated using PMDS was missed by 7,1%. The reasons why not all office-based educators were evaluated, was attributed to promotions, resignations, retirements, sick leave and study leave. These indicators were removed from the NCDOE Annual Performance Plan for the next financial years.

Do any of the two performance management systems have measures in place to ensure that strategic objectives are captured in and linked to job descriptions, work plans and performance agreements? If participants knew which strategic objective in the departmental APP is applicable to their work, then the expectation would be that they would ensure that their job descriptions, work plans and performance agreements are aligned to the strategic objective. Furthermore, a quality assurance system should be in place to ensure that this link from strategic objectives and underlying performance indicators to performance agreements, job descriptions and work plans is credible. None of the participants interviewed knew of any specific system of quality checking the job descriptions, work plans and performance agreements against strategic objectives. EPMDS participants from OTP and participant 4 from NCDOE alluded to the strategic planning process and how plans should filter from supervisors to subordinates. Participant 2 was explicit in stating that such quality assurance processes do not exist, while it also emerged that the unit responsible for performance management and the Organisational Design unit should do this. The fact of the matter is that there is no known quality assurance measure to ensure that job descriptions, work plans and performance agreements speak to strategic objectives, which in itself is a risk to achieving departmental goals and objectives.

5.3.4 Employee performance vs Organisational performance

The link between employee performance and organisational performance should be evident in how the workflow cascades down from the organisational goals to the performance expectations of employees. The realisation of the importance of individual performance in achieving corporate goals was more evident in the responses of managers responsible for the implementation of both PMDS, EPMDS and departmental Monitoring and Evaluation.

“There is hardly any hope that any institution will achieve its corporate goals without individual performance forming the cornerstone of that” and “If I perform as an individual, the organisation performs” (participant 5).

On the contrary, most officials under either PMDS or EPMDS did not think that employee performance makes a difference to organisational performance. It is almost seen as two separate, unrelated processes. The following quotes illustrate this point:

“Its (PMDS) not driven at the moment by, you know, the need to improve the goals of the department.”

“You don’t find that if you don’t perform, that there are sanctions”

“Don’t think performance management system is functional”

There seems to be a disjuncture in the strategic planning processes that leaves a gap when strategic objectives are cascaded down to individual employees. It raises the question of whether a top down approach to strategic planning is followed as opposed to a bottom up approach. The latter may be better at ensuring that the plans of individual employees are filtered into the performance indicators of the Annual Performance Plan. It is better at ensuring that employees up to the lowest levels know exactly what is expected of them. This approach has a better chance of achieving corporate goals.

In pursuing answers to whether there is indeed a correlation between employee performance and departmental performance, I posed the scenario of a unit not meeting its targets in terms of the APP, with employees in that unit all getting performance bonuses. All participants indicated that there was no specific system in place to correlate employee performance with departmental performance during scoring and moderation processes and hence; no correlation between the two. It was again, the officials responsible for implementing employee performance management (both PMDS and EPMDS) who highlighted that, although there should be a cascading of performance targets down to employee levels, individual

employees can perform even if the unit does not perform. It then raises the question of whether unit performance should be linked only to the performance of the senior manager responsible for guiding the unit activities. Should the senior manager take some responsibility for the fact that the underperformance of individuals in the unit led to unit underperformance on some indicators? The senior manager is not always an implementer per se, but manages the entire unit activities, as well as the individuals within the unit. Whether this is a fair assumption, is a debate on its own.

What correlation should there be between employee and unit performance? It would be expected that moderation committees should, if a unit underperforms, trace the reason for underperformance to the relevant individuals. It would be ridiculous to contemplate a situation where a unit underperforms in terms of the APP, but all the officials in that unit receive performance bonuses; a scenario that some of the participants acknowledged can happen under the current system. Participant 7 noted that moderation committees should look into this possibility.

Interestingly too, is that the NCDOE does not have just one standing moderation committee (IRC) to moderate scores for EPMDs. Because the NCDOE is a very large department, a moderation committee per chief directorate is convened. Uniformity in approach is secured through the representation of the EPMDs unit on all moderation committees. This arrangement was only confirmed for EPMDs at the NCDOE. In terms of the correlation of employee performance with departmental performance, one could ask if the Monitoring and Evaluation unit should not also be represented on all moderation committees; provided they have the capacity.

5.3.5 Improving understanding of what is expected of the employee

Performance management aims to ensure that employees understand what is expected of them. If articulated into clear activities and targets, such

understanding would be partially true. Employees need to continuously engage with the expectations contained in their job description, work plan and performance agreement in order to ensure that they know what must be done and how performance will be proved. Furthermore, engagement with expectations will open avenues for creative thinking that might lead to exceeding performance. Participant 2 touched on the reality in PMDS: "...it's a copy and paste". When you really come down to your work plan, and you see that this is what you set out to do and this is what you put in a part of what to do- and you didn't achieve certain of it, that is like a wake-up call or a reality for you." Participant 1 concurred that PMDS is a compliance activity- work can be done with or without PMDS.

The EPMDS participants from both OTP and NCDOE, agreed with the rest of the PMDS participants from NCDOE, that the performance management systems spell out what it is that they were expected to do. None alluded to whether they interacted with these documents on a regular basis and if this actually helped in terms of individual and departmental performance.

Does PMDS and EPMDS make provision for the inclusion of all aspects of a specific job, or is it possible that officials can leave out certain aspects of their work and later claim this as exceeding performance? There was a huge reliance on supervisors to ensure that all aspects pertaining to a job were included in performance management documents. Therefore, reference can be made to an earlier question regarding whether there is synergy between the job description, work plan and performance agreement, as well as with the organogram and job advert. If those processes are not managed properly, work aspects can fall by the wayside and impact on departmental performance; not to mention the issues they can cause during the employee performance management process. It also emphasises the importance of quality assurance of performance management documents and that a bottom up approach to strategic planning might be more helpful towards achieving the strategic objectives of the organisation.

5.3.6 Promoting interaction and communication

Performance management, by its very nature, presupposes interaction between supervisor and subordinate. Whereas EPMDS aims to promote interaction between the two parties, PMDS actually endeavours to improve communication between them. If the relationship between the two parties is good throughout, improvement becomes a non-entity. It is also not sure how this improvement will be measured. The EPMDS aim in this regard is then pertinent in that interaction between the two parties is inevitable.

5.3.7 Improving relationships

The employees under PMDS in NCDOE gave ambivalent responses to a question on whether their relationship with their supervisor either improved or deteriorated because of PMDS. Ironically, it was the lower ranked officials that admitted that relationships can potentially go sour because of PMDS. One participant related that it can be "...a very, very terrible time..." and another attributed this to nobody "...seeing the seriousness or importance of it". This taking employee performance management serious aspect also surfaced in the literature review, specifically under Public Service Commission reports. Conversely, the higher ranked officials related that their relationship with their supervisor actually improved. Two of these higher ranking participants attributed this to common understanding of what must be done. Whether this was a consequence of a top down approach to strategic planning, is debatable. The lower ranking officials coincidentally also related the possibility of relationships with subordinates deteriorating, whereas there was a more positive sense in terms of relationships with subordinates from the higher ranking officials.

The PMDS responses took a more or less similar trend as the responses from the EMPDS employees in both the NCDOE and OTP. At NCDOE, the lower ranking official noted disgruntlement from subordinates, especially when higher ranking

officials in the same unit got higher scores. They reasoned that they were the ones doing the work and should have been rewarded for such, instead of the supervisors. None of the EPMDS officials at NCDOE related dissatisfaction to their own supervisors as a result of the performance management system. At OTP, the higher ranking officials in EPMDS had no relationship problems with either their supervisors or subordinates. The lower ranking official interviewed had no subordinates, but expressed disgruntlement with the system and with the supervisor. In fact, the relationship was described as “non-existent” and the EPMDS as forms that are just a formality to fill in.

Participant 8 brought another consideration to the table. The reason for disgruntlement was attributed to money- which, according to this employee, was never the intention of performance management. Employee disgruntlement was confined to whether they got performance bonus or not. If an employee is awarded a performance bonus, he/she will not be unhappy with the supervisor or the performance management system. Participant 5 concurred with money being the devil that poisoned performance management, when responding to a question on scoring yourself average to avoid conflict.

It seems as if disgruntlement with performance management was mostly an upward phenomenon; subordinates unhappy with supervisors. In a supervisory role, most of the participants interviewed could relate the dissatisfaction from subordinates during scoring for performance management. It should be noted that supervisors are in a position of power as they are the ones that are required to defend/ promote scores at the mediating committees. Critical community psychology advocates the empowerment of the oppressed, which should have a disempowering effect on the abuse of power.

The issue of improved relationships was pursued further with questions on whether employees would rate their performance average in order to avoid conflict with the supervisor, and if performance management lent itself to subjectivity on the side of the supervisor.

The lower ranking PMDS employees were very direct in saying that they do rate themselves average. The personality type of the supervisor was also identified as a factor that contributes to an average rating and avoiding confrontation. The power dynamics stipulated by critical community psychology became evident again. The higher ranking PMDS officials, although regarding their scores as honest, left it up to the supervisor to up the scores. Their responses seemed congruent with the good relationship with their respective supervisors. One participant even confessed that the supervisor always ups the score. From this, one could also consider the pressure that some supervisors experienced. Supervisors who were bent on pleasing everyone would endure considerable pressure from strong-willed subordinates. That could be a reverse of the more conventional manifestation of power relations.

A similar outcome was evident for EPMDS at NCDOE, in that the lower ranking official admitted to submitting average ratings to avoid conflict, but the higher ranking officials gave a more “honest” rating. One participant felt that average ratings to avoid conflict does not solve anything. Participant 6 alluded to what seems to be an unofficial rotating system in their unit where officials would receive performance bonuses every alternate year, providing they perform throughout the year. Apart from avoiding conflict, every employee gets an equal opportunity to receive performance bonuses. The merits of such an unofficial system are debateable and one can only consider other possible conflicts it can present in the long run.

It was interesting to note that the implementers of performance management (PMDS and EPMDS) remained true to the principles of the system, and applied honesty to their ratings. With the exception of one, the EPMDS participants at OTP also rated themselves average, to avoid conflict. The one (exception) participant that subscribed to honest ratings, identified the lack of evidence to substantiate higher performance as a contributing factor to others rating themselves average.

Does performance management lend itself to subjectivity on the side of the supervisor? This question speaks to the core of power relations and how they can bedevil the noble intentions of performance management. Not one of the participants interviewed disputed the subjectivity of their performance management system. Its openness for abuse and, specifically to be used as a disciplinary instrument by supervisors, was very evident. Participant 4 actually felt that subordinates can also abuse the subjective nature of PMDS. Currently, the only defence against perceived abuse of the subjective nature of PMDS/ EPMDS is to go the route of lodging a grievance. This is, however, after the fact and can actually perpetuate conflict in the long run. There is a need to minimise or neutralise the abuse opportunities that the subjective nature of performance management presents. To expect objectivity amidst conflict is maybe an unrealistic human expectation. Participant 10 suggested that someone from “outside” sitting in when performance management interviews are done, should minimise the opportunity for supervisors using their powers in the system. Further opportunities for input on addressing the subjectivity issue was given in the later questions.

5.3.8 Fairness and Objectivity

On whether performance management is fair and objective, all answers did not reflect a definite “no”. The majority of participants found it to be unfair and subjective, but others noted partial fairness and objectivity. On PMDS, participant 3 noted “Its fair. It's just that in the hands of the wrong person it might not be.” Participant 5 added that it has limitations of which the greatest limitation is the lack of human touch. Participants 1 and 4 elaborated on the unfairness thereof, when all officials get the same reward whereas others went beyond the call of duty. Top management get rewarded whilst the business units underperformed.

The EPMDS participants at NCDOE attribute the unfair qualities of the system to supervisor bias, where some subordinates are regarded as favourites and others not. Participant 7 linked this bias to the power of money. If you are a favourite, you

will receive monetary bonus, and if you are not a favourite, you will be punished by denying you the monetary bonus. Only one participant at OTP felt that EPMDS is fair and objective, while another one took a middle way, stating that it is “sometimes” fair.

The power that money brings in a conflict relationship is the most influential aspect that makes performance management unfair or partially unfair, at least. Hannagan (1995:317), in Lombard (2005: 107), warns against subjectivity during performance appraisal, as well as against favouritism, inconsistent criteria, bias and stereotyping. The powers that be have little control over human behaviour (bar for the “justice” that grievance procedures attempt to bring), but can certainly attempt (through policy) to limit the damage that control over money can do to working relationships and the performance of the organisation.

5.3.9 Systems to corroborate performance scoring

What systems are there to ensure objective scoring? For both EPMDS and PMDS (to a lesser extent), performance information is only required for scores that would warrant monetary incentive. It emerged that supporting evidence is not taken seriously in PMDS- probably because of lack of manpower and because everyone will get the reward anyway if they performed. The Auditor-General (AG) uses performance evidence to corroborate reported performance by a department. In both OTP and NCDOE, there are no systems to link departmental performance to employee performance. The same evidence that should serve to corroborate employee performance, should be forwarded to the AG to confirm departmental performance. It is accepted that the departmental performance is measured at a much higher level, and that not all performance indicators are captured in the Annual Performance Plan. Hence, not all employee supporting evidence will make its way to the AG. There should, however, be instances of overlap/ duplication. Most participants (bar participant 9) did not know of any specific systems to quality assure objectivity.

Systems that could ensure objectivity alluded to by participants are:

- Portfolios of evidence to be presented for exceeding performance. This is to be distinguished from the evidence submitted for auditing the departmental performance.
- Moderating committees that usually consist of senior managers and where labour unions can sit in. In EPMDS at NCDOE, the moderating committee also looks at the impact that exceeding targets have. They, not only look at over performance, but also at what needs to be done in cases of underperformance.
- Electronic systems that cannot be manipulated should be investigated.
- The possibility of a link between unit performance management and employee performance management (Participant 4) should be investigated.

These suggested systems seem credible and can certainly enhance objectivity and the overall credibility of the performance management system.

5.3.10 Subjective criteria of performance management

The most notable subjective components of government performance management systems are the CMCs/Capabilities (PMDS) and Generic Assessment Factors (GAFs) in EPMDS. In the new EPMDS (2018: 16-22), supervisors are expected to score subordinates on factors (GAFs) such as Acceptance and Responsibility, Reliability, Quality of Work, and Initiative.. The new PMDS (2017: 45) have similar factors (changed from capabilities to Core Management Criteria (CMC) in the new Collective Agreement) on which office-based educators have to be scored, e.g. Service to Stakeholders, Conceptual and Analytical Skills and Acceptance of Responsibility. There are also are few common components in both systems e.g. Job Knowledge, Interpersonal Relationships and Communication. Notably too, these criteria carry less weight

than the rating for KPAs/KRAs. I thought it good to gauge the participants' views on these subjective criteria.

All participants (PMDS and EPMDs) at NCDOE and OTP noted that these criteria lent themselves to subjectivity and abuse. Participants 1 and 10 highlighted that these criteria cannot be proven with supporting evidence. Hence, they are open to interpretation and no two supervisors would even score the same subordinate exactly the same. Participant 1 thought that these criteria probably had a place in the system and participant 2's view was that they should be fine-tuned. A few of the participants noted that these criteria really tested the professionalism of the supervisor. Participant 7 brought a valid consideration to the argument by suggesting that these criteria should not be scored in isolation from the KPAs/KRAs.

5.3.11 Effects of performance management on motivation of employees

If an employee is not rewarded for good performance, it will affect the motivation to continue working hard, especially when that employee witnesses others who do far less, receiving rewards (Schnake, 1987: 161). However, this depends on the personality traits of the official involved. The lower ranked office-based educators in PMDS expressed sentiments of low motivation because of the system. The higher ranking officials did not have a problem with their motivation being affected. The lower ranked EPMDs participant at NCDOE did not have motivation issues, but all the EPMDs participants at OTP confessed to motivation being low at some stage or another. It was notable that the participants responsible for the implementation of respective performance management system, mentioned their disillusionment with poor implementation, poor understanding and exploitation of the system.

5.3.12 Dispute resolution

Not one of the participants had ever lodged a dispute because of the performance management system, although many admitted to hearing about disputes lodged by others. Very interestingly too, was that the disputes that participants heard about, were, by and large, from officials under the EPMDS. EPMDS is where performance bonuses are awarded, whereas in PMDS, everybody just gets a 1% increase which leaves very little motivation for lodging disputes. This underlines monetary reward as the evil that can be exploited by supervisors. One should also note that supervisors are not always the villains in this respect. Subordinates can also be unrealistic in their expectations, which could trigger conflict and dispute.

The lower ranking office-based educators could not comment on the effectiveness of the dispute resolution process as they had not directly been involved in one. It was more the higher ranking office-based educators who felt that the dispute resolution process was not effective enough. Reasons cited were that the committee did not sit enough (frequently), and there was a lack of competence and understanding. The sentiment that dispute resolution was ineffective was shared by EPMDS participants from OTP and NCDOE alike. The implementers of both systems at OTP and NCDOE noted that the process can be fair if implemented correctly. Participant 9 mentioned that panel members on dispute resolution is taken from other departments, presumably to neutralise possible subjectivity. This, in my opinion, could also work for moderation committees. My overall impression is that the dispute resolution process is a necessary aspect of performance management. However, its work can only be effective if all parties receive thorough training on the process, and competent persons are at the helm of proceedings.

5.3.13 Planning for personal development

The logical consequence of underperformance is the development of affected officials in order to bring them up to speed on areas where they are lacking. Where officials have underperformed, a personal development plan (PDP) must be developed and submitted. Departments have Skills Development Units to ensure that lacking skills feed into a workplace skills plan. In this regard, I wanted to know from participants how often they submitted such PDPs, and if they fed into the workplace skills plan.

All participants reported that they submitted personal development plans annually. This is done at the start of the financial year when they have to sign and submit their performance agreements, job descriptions and work plans. The majority of participants did not know if the submitted PDPs are fed into a workplace skills plan. Some participants, particularly those responsible for the implementation of performance management, expressed concern with the timing of submission and its synchronising with the workplace skills plan. Their argument was that it was almost like pre-empting what training you would need in the year. This argument would be valid for those officials whose job descriptions changed in the new financial year, but for those whose job descriptions remained the same, the performance management outcomes of the previous financial year should serve as a basis for submitting training needs. Their argument becomes stronger with the timing of the training intervention which will only come well into the second half of the financial year. Contrary to participant 8, who agreed with the PDP submission at the beginning of the financial year, participants 7 and 10 suggested that PDPs should be done after a mid-year assessment. This would leave ample time for consolidating a workplace skills plan and implementing training before the start of the new financial year.

The majority of participants received training. Except for participants 6 and 8, the other participants expressed dissatisfaction with the eventual training offered, citing that it very seldom was what they requested. It seemed as if budgetary

constraints dictate what can be offered as training. The budgetary issues were confirmed, and elaborated on by two participants, who were also implementers of performance management. Available training was then offered to all officials regardless of whether this was in their PDP. This type of approach did not serve its purpose, and certainly did not advance the attainment of strategic objectives. Officials also did not assist the process when submitting what participants 8 and 10 called “wish-/shopping lists”.

5.3.14 Managing unsatisfactory performance

From participant responses, the following constraints hampered effective management of underperformance:

- **Lack of Budget.** This is the number one constraint cited. The effective utilisation of available budget was dependent on the number of officials who underperformed or needed training, and how diverse the identified needs were. The needs refer to wish lists mentioned earlier. If most officials requested more or less the same training (e.g. Ms Excel), it eased the facilitation of training and lifted the burden on the available budget.

The lack of budget prompted the follow-up question of whether training and development should be limited to underperforming officials. The overwhelming response to this question was that all officials were supposed to get training. Even those who excelled need to be exposed to changes in their line of work. Participants 1 and 2 reckoned that, because levies are deducted from salaries, all officials are actually entitled to skills development opportunities. When the topic of limited budget was brought up, participants agreed that the underperforming officials should be prioritised. Participant 2 suggested a rotational system which could be an interim answer to the budgetary constraints. This would prevent the same officials going to the same training and having one official going to ten training opportunities while others get no training opportunities. The only

problem with the suggestion was that, training backlogs hampered organisational performance.

- Poor planning. Lack of proper planning by the Skills Development unit speaks for itself as a constraint to offering adequate and proper training. Participants from both departments echoed proper planning by competent officials as a solution to addressing training needs. Poor overall planning by the department can affect the operations of individual units as well. Poor planning and incompetence should be taken into consideration by moderation committees, and it strengthens the argument that the Monitoring and Evaluation unit should also be represented on moderation committees.
- Wish-/shopping. These lists relate to officials adding training to their PDP that will not assist their development in their field of work, and compounding the work for the Skills Development unit, as well as increasing the pressure on the limited budget. Precious time is wasted on determining whether the training requested is in the interest of developing the employee to improve organisational performance.
- Impact assessment. Officials go to training and there is no assessment on the impact of that training. There is no system for checking if the performance of an official who was offered training, actually improved his/her scores in subsequent years.
- Quality of training offered. Participant 5 expressed concern with the quality of training provided. Poor quality training programmes do not improve employee and organisational performance. On the question whether accredited training programmes were the only option for addressing unsatisfactory performance, the overwhelming response from all participants was that formal/ accredited programmes was not the only option. Participant 1 suggested that accredited, long term courses that will lead to a qualification, be offered. Informal training (including peer training) in the workplace was cited by most as a viable option of learning. Participant 4 even recommended that officials be directed to the myriad of training programmes that are available on the internet. The problem with informal training is that most of it is not documented/ recorded and added

to an employee's resume. Therefore, it cannot be ascertained if improvement in an employee's performance or the unit improving in general can be attributed to the training. In fact, it is not certain if departments have systems to record all training offered per employee.

The identified list above is not exhausted, but a fair reflection of the most prevalent constraints. They should be taken into consideration if underperformance is to be addressed adequately.

5.3.15 Decisions on Rewards

The most contentious issue of performance management is without a doubt the awarding of reward for excellent performance. It became abundantly clear from the previous questions that dissatisfaction with reward is much more prevalent with EPMDS as with PMDS. This is due to the performance bonus aspect in EPMDS which can amount to sizeable pay outs compared to the across the board 1% for PMDS. All the participants agreed that performance management places more emphasis on rewards as opposed to development - which is the core aim. The question to follow was whether performance management would still be relevant or viable if performance bonuses were removed (it is already not taken seriously according to some responses). Participant 2 felt that people would not perform optimally if reward was taken away. Participant 5 was more vocal in stating that performance management is currently succeeding because of the element of financial gain, and that PMDS will collapse if reward is removed from it. One implementer related how the sheer numbers of reward applications placed enormous pressure on moderating committees. In pursuit of fairness, they have to rely on the credibility of supporting evidence and the presentation of the supervisor.

Another bone of contention was whether performance management rewards the deserving officials only or if underserving officials also unduly benefitted in the

process. This could be the major source of dissatisfaction and resultant disputes. All participants (PMDS and EPMDs) noted that undeserving officials also unduly benefitted from the system. Two participants noted that rewards were given to keep the peace and satisfy “blue-eyed boys”. The problem was aggravated where it was perceived that undeserving officials benefitted at the expense of deserving officials.

Should there be monetary reward or are there alternatives? Responses varied across the two systems, but the overall sense was that there should be reward, but it does not necessarily have to be in the form of money. Participant 4 was very vocal on abolishing monetary incentives, but noted that alternatives will also require money. Participant 5 was conflicted on the issue because as much as monetary rewards obscured the purpose of performance management, removal could cause the collapse thereof. Participant 8 concurred that monetary reward thwarted the objectives of performance management and caused disgruntlement. Participant 7 noted that if implemented correctly (fair and objectively), monetary reward could actually work, and that even non-monetary incentives could create expectations which can lead to disgruntlement.

Alternatives recommended were:

- Giving time-off or additional leave days.
- Paying for holidays.
- Giving once off prizes.
- Funding for studies and Training.
- Awarding a plaque of acknowledgement.
- Instituting employee of the month awards.
- Providing vouchers and other tangibles such as laptops.

Both PMDS and EPMDs make provision for non-monetary rewards, but the possibility to source them have not been explored, and could also have been overshadowed by the money aspect. It should be mentioned that EPMDs have

reduced the percentage bonus offered per category (participant 9), but that does not mean that such will lead to less disgruntled employees.

5.3.16 Establishing a learning culture in the Public Service

Establishing a learning culture is an aim unique to EPMDs. It goes without saying that lifelong learning should be the aim of all employees. All participants agreed that all employees should be offered training and development opportunities at some stage or another. Budgetary constraints taint the purpose of development somewhat (participant 7).

5.4 Advantages/ positives of the current performance management systems

On presenting the perceived positives identified by participants for the respective systems, I had to separate them for PMDS and EPMDs.

PMDS

- Provides reward and motivation for good performance.
- Provides opportunity to build on existing good relationships.
- Provides opportunity to reflect on where you are with your work.
- Hold individuals to account for their work.
- Gives decision makers a better platform to understand why their institutions are failing or succeeding.

EPMDs

- Provides opportunity to improve on previous performance (employee).
- Provides motivation for hard work.
- Provides opportunity for development.

Although not mentioned by name, reward is included in motivation for hard work. Participant 9 reiterated that EPMDS is a good tool with noble intentions that are unfortunately, being thwarted by the human factor. This human factor cannot be separated from the reward factor. Participant 10 also mentioned that it is positive to see some employees who did not get performance bonuses still pushing and working harder, instead of just regressing like others do. Overall, despite admitting to failures in their performance management systems, participants could at least identify some positives from it. Participant 8 was the only exception who was very negative towards EPMDS and could not see any advantages/ positives.

5.5 Recommendations for employee performance management

On presenting recommendations identified by participants for the respective systems, I also separate them for PMDS and EPMDS.

PMDS

- Conducting regular, proper training- including intensive training for decision makers.
- Asking questions that are more targeted to directorates' scope of work. Evaluating the actual work that people do.
- Reviewing the subjective aspects of PMDS.
- Getting activities in line with the objectives of the department.
- Simplification of the process and more regular implementation of employee performance management.
- Investigating incentives other than monetary.

EPMDS

- Removing performance bonuses and focusing on the development of the employee. Reward employees with training.
- Using independent assessors/ moderators from e.g. another department.
- Making the system more objective, by removing or neutralising the subjective elements.

The differences in recommendation between the two groups is glaring and highlights the differences in focus for the respective employees. The one common denominator is that both groups seek more objectivity in their respective systems.

5.6 Common problems with public performance management systems

Participants directly involved with the implementation of performance management in their department were specifically asked to identify common problems with the system. These officials were specifically selected to participate (purposive sampling) because of their first hand involvement with the implementation of their respective systems. Under PMDS, the following problems were identified:

- Inflation of scores.
- Supervisors that are not assertive.
- Malicious compliance- it's a paper exercise.
- Focus on monetary incentives.

Under EPMDS, the following problems were identified:

- KPAs/KRAs not aligned to what the official should be doing.
- Officials not wanting to understand the rating scale.
- Supervisors and subordinates not being objective.
- Focus on money.
- Lack of training to due budgetary constraints

These officials were also requested to identify common disputes that arose from the implementation of their respective performance management systems. Not being awarded a performance bonus (EPMDS) rated as the most common dispute that arose from poor implementation. Following that were implementation problems such as supervisor and subordinate not sitting together to agree on

scores. Many subordinates also felt that supervisors misrepresented them at moderating committees.

The prevalence of many disputes raised the question whether moderation committees were operating effectively. PMDS had reportedly up to three moderation committees of which the effectiveness was rated as zero. The two moderation committees that NCDOE had for EPMDS were rated as effective to a certain extent. At OTP, the EPMDS committees were reportedly not very objective, leading to disgruntlement. Part of the problem was located in OTP rotating panels consisting of senior managers, which compromised consistency. The advantage of rotating panels was that all senior managers got the opportunity to learn from the process and were then able to implement the process better in the directorates.

5.7 Findings and Conclusion

The research questions for the chapter were responded to within the sub headings of the chapter. It was very evident from employee perspectives that most of the aims of employee performance management were not being realised. The following attested to this:

- Although job descriptions, performance agreements and work plans were in place, participants were not sure if they were linked to corporate goals. There was also no system in place to correlate employee work plans with organisational objectives and performance indicators. Most participants could not recall the specific strategic objective in the APP related to their work.
- Employee performance and organisational performance were seen as separate, unrelated processes. There was no system in place to correlate employee performance with unit performance or organisational performance.
- There seemed to be consensus that employee performance management assisted employees in understanding what is expected of them.

- Participants agreed that relationships between supervisors and subordinates did not necessarily improve as a result of employee performance management. This sentiment was more evident from a subordinate point of view. In order to keep the peace, some participants scored themselves average and left it up to supervisors to up their scores. It was mostly implementers of employee performance management that promoted “honest” scoring.
- None of the participants disputed the subjectivity within their respective performance management system and its openness for abuse.
- The majority of participants found their employee performance management system to be unfair and subjective; contrary to the aim of fairness and objectivity.
- Supporting performance evidence was mostly only required to corroborate above average performance. Performance evidence was not taken seriously, especially in PMDS where performance bonuses were not applicable.
- Participants regarded criteria for GAFs and CMCs to be subjective and open to abuse. However, none recommended that they be abolished.
- There were varied responses on whether employee performance management improved motivation. The lower ranked PMDS participants and all EMPDS participants at OTP expressed low motivation at some stage or another.
- Disputes mostly occurred in EPMDS; probably because of the performance bonus factor. There were also sentiments that the dispute resolution process may not be effective.
- Training provided was not always related to identified needs as per PDP. Provision of training for all was often thwarted by availability of budget, poor planning and “wish lists” in the PDP.
- As a basis for reward, participants felt that employee performance management allowed that both deserving and undeserving employees benefit. Although a source of dissatisfaction, participants felt that there should be a form of reward and alternatives should be investigated.

The problems experienced with employee performance management seemed to be very diverse. The decision to include a comparison with EPMDs was justified as the insights gained were invaluable in suggesting an approach for PMDS for office-based educators. The next chapter explains my suggestions on how to approach employee performance management so that it is less time-consuming, subjectivity is reduced, and a fairer system prevails.

Chapter 6. Employee performance management for office-based educators: A suggested approach

6.1 Introduction

Following data gathered from the literature study, document analysis and qualitative interviews, this chapter takes into consideration information acquired to suggest an approach to employee performance management in the public sector- specifically for office-based educators. I thus give expression to the main research question as presented in chapter 1:

What performance management approach can be proposed for office-based educators in a provincial education department?

The following self-designed table depicts the process from manifested problem to possible solution:

Table 5: Manifestation-cause-solution

Manifestation	Possible cause	Possible solution
*Service Delivery compromised.	* PMDS not linked to the strategic plans of the Department.	*Combine employee performance planning with Departmental strategic planning. *Employee performance reporting to inform departmental reporting.
*Discrepancy in Departmental performance and individual performance (unit underperforms, but everyone in unit gets reward).	*No proper Job Descriptions, Work plans, Performance Agreements. *No system of integrating departmental and employee performance systems.	*Introduce a fair scoring and assessment system linked to monitoring of departmental performance. *Introduce a system that cannot be manipulated. *Introduce evidence based assessments. *Include M&E representative on moderation panels.

Manifestation	Possible cause	Possible solution
<ul style="list-style-type: none"> *Low Morale from those not receiving reward. *High scores for undeserving; Low scores for deserving. 	<ul style="list-style-type: none"> * Subjective scoring. * System open for manipulation. * Power relations determines scoring. 	<ul style="list-style-type: none"> *Minimise subjectivity in the system. *Introduce multi-dimensional assessment (peer/ external review). *Investigate alternative reward systems.
<ul style="list-style-type: none"> *PMDS not taken seriously. *PMDS a copy and paste exercise. 	<ul style="list-style-type: none"> *Seen as an administrative burden. *Employees do not see the purpose of PMDS/ have no faith in the system. *No immediate feedback. 	<ul style="list-style-type: none"> *Make PMDS part of the performance agreement of supervisors. *Compel supervisors to report on PMDS as part of Quarterly Performance Monitoring and Evaluation. *Use technology to simplify the planning and reporting.
<ul style="list-style-type: none"> *Skills shortage. *PDP training not related to job. 	<ul style="list-style-type: none"> *Too much emphasis on reward. *Neglect of developmental aspects. *Budgetary constraints. *Wish lists for training. *Poor planning for training. 	<ul style="list-style-type: none"> *Ensure that PMDS strengthens the Workplace Skills Plan. *Rate competencies with KPAs. *Compulsory training for underperformance. *Rotational training for those who perform.
<ul style="list-style-type: none"> *Disputes/ grievances. *Inconsistent interpretation of KPAs. 	<ul style="list-style-type: none"> *Insufficient knowledge of PMDS process. *Lack of training in PMDS. *Did not give input into the system. *Power relations at play. *Poor communication. *No feedback. 	<ul style="list-style-type: none"> *Introduce uniform training annually. *Multi-dimensional scoring. *Improve communication.

My suggested approach only makes recommendations in critical areas which can be taken into consideration in the development of an employee performance management system for office-based educators. The purpose is not to interfere with core elements of current systems, but merely recommend improvements as per information gathered in terms of content.

6.2 Requirements for performance management systems

The majority of participants interviewed felt that performance management was not really a waste of time and that, in fact, it should be done. It was just the implementation thereof that needed refinement. Officials and organisational processes must be managed in order to achieve desired results. Monitoring and managing a simple plan forms the cornerstone of daily operations and hence, performance management should not be seen as something from outside daily operations (participant 5 and 7). Documenting what was achieved was not done properly and that caused problems. In terms of the administrative forms and supporting evidence, participants felt that the process should be simplified and less time-consuming. Participant 9 suggested that the use of technology should be explored in order to reduce the administrative burden. The policy framework for GWME (2007: 4) shapes the policy context within which integrated IT-management systems could work for public sector organisations. This confirms endorsement for integrated IT-based data systems.

The age of technology has opened many possibilities for simplifying implementation of employee performance management. However, it is my experience that the public sector still resorts to time consuming, paper based systems that are prone to mistakes and manipulation. Likewise, lack of training and poor technology skills may also lead to many problems in the value chain. A well-developed instrument is as good as the skills, buy-in, and execution by its implementers. Rating is probably the most contentious issue of a performance management system. If a performance management system lends itself to subjectivity and abuse, it may be dogged by disputes, delays, waste of time and money, and ultimately failure.

I agree with Simons (2009: 19) that performance management should include the following processes;

- Performance planning
- Monitoring performance
- Review of performance
- Performance evaluation

Performance evaluation should be systemic and take place over years. Ainstey, Fletcher and Walker (1976: 20) list the following requirements for a reporting system:

- It must be easy to use and command confidence.
- It must link with normal supervision and not be an additional task.
- It should not be time consuming.
- It must be practical and inform needs and decisions.
- It should be linked to central employee information.

Agere and Jorm (2000: 1) propose a clear and consistent management system with the following prerequisites:

- clear performance measures;
- defined performance goals and communicated expectations;
- accountability for meeting performance expectations; and
- gathering and analysing data according to predetermined processes, and also utilising performance information in a systematic manner to impact decisions throughout an organisation.

All these considerations were taken into account when the suggested approach was formulated. It is important to understand what has to be measured, and to determine the performance factors, such as financial considerations, internal business operations, customer satisfaction, employee satisfaction and community stakeholder satisfaction. Public Service organisations often deliver services that are not tangible, but often abstract and not easy to measure. In order to measure the abstract, it is important to have prior agreement between the parties involved

on the what, how and when to measure (Agere and Jorm, 2000: 4). Such agreements are difficult to conclude if objectivity cannot be guaranteed.

Every organisation, be it private or public, will use an agreed upon performance management system with its specific instruments and rating scales. Private sector organisations have more autonomy with regards to their systems whereas public organisations have to conform to nationally agreed systems. Holzer and Callahan (1998: 5) concur with this statement and regard public administration's deep rootedness in public law as the most critical distinction between public- and private administration. Either way, unions are key role players in protecting the rights of their members during the design and implementation of performance management. Therefore, consultation is of the utmost importance and should be done with the systemic evaluation of the system every 3-5 years.

6.3 A suggested PMDS approach for office-based educators

6.3.1 Strategic Planning

All participants noted that there was virtually no link between organisational performance and employee performance management in terms of execution and purpose. Implementers felt that employee performance management and organisational performance management were two separate systems that did not have to be linked. They felt that for employee performance, one should look at the individual only and, despite organisational performance being found wanting, some individuals in the organisation could have performed above average. Participant 4 (correctly) also mentioned that there may have been compelling factors that could have led to underperformance, and that must be considered in employee performance management systems. There is certainly merit in such instances which moderating committees must consider. Participant 6 stated almost the opposite "It's strange. The department gets a qualified audit opinion, but a lot of the employees are getting performance bonus. Doesn't make sense." The difference lies in implementation, discrepancies and factors outside of the system itself, e.g. power relations which seemingly render the moderating

committees powerless. It is correct that despite unit/ organisational underperformance, certain individual employees may have performed optimally, even exceeding performance. However, the anomaly appears when individual employees, who are deemed to not have performed by their peers, also receive performance reward. If a unit underperformed, it should be frowned upon if all employees in that unit receive performance bonus, especially the supervisor/ manager. Implementers of employee performance management should take organisational performance into account when moderating committees sit. Additionally, the co-opting of a departmental Monitoring and Evaluation employee on the moderating committees should be considered.

Should departmental performance management and employee performance management be separate processes? My opinion is, not necessarily. The execution of the processes should remain separate, but closer integration must be negotiated. In my opinion, employee performance management planning starts with the annual strategic planning processes at departments. All employees should be part of the strategic planning process in a bottom-up approach. Strategic planning should start at unit level and ultimately, culminate in one strategic planning session where all plans come together. The strategic plan is built on unit plans, which are built on individual employee plans. Therefore, I would suggest that one common unit planning template be designed, that makes provision for individual plans. From the unit templates, strategic elements can be selected to inform the strategic / annual performance plan of the department.

Once top management has set the goals to be achieved in the financial year, management should set the operational plans in line with the strategic plan Tlhogo (2009: 8). All recommendations in relation to performance assessments should be implemented by the human resource management unit. Officials whose performance does not improve after training and development, should be subjected to disciplinary procedure.

6.3.2 Performance management tools

Holzer and Callahan (1998: 119) is of the opinion that public institutions have a well-developed set of tools for performance management. Despite well-developed tools, implementation seems to be hampered for various reasons. From the participants' views, as well as the literature review, the recommendation to improve on employee performance management, was that technology should be incorporated more effectively. The 2017/18 Annual Performance Plan (APP) of NCDOE (2017: 29) refers to e-PMDS systems, which can be interpreted as an electronic system for PMDS is being considered. Currently, the paperwork required for PMDS and resultant filing thereof, creates additional problems which can be alleviated by the use of technology e.g. electronic filing.

In the past, ineffective performance appraisal may have been the result of lack of understanding or failure of instruments (Henderson, 1987: 226). Further, failures may have related to inability to collect, store, retrieve, analyse and disseminate large volumes of data. Computer technology is grossly underutilised in this field, especially given the perception of employee performance management as an administrative burden. I agree with Werner et. al. (2009: 292), in Makamu and Mello (2014: 107) that technology can certainly change the ability of the employer to measure performance, as well as simplify the process and save valuable time. It also offers additional advantages such as easy accessibility, user friendliness and off-site storage and back-up. Computer programmers can easily write an integrated, common performance management programme. Even a computer illiterate official will, with practice, master a simplified computer based programme. The advantages of that are many, of which Henderson (1987: 227) lists the following:

1. Dissemination of specific and useful data to those having both the need and right to know.
2. Analysis of supervisors' ratings that provide a first indication of (a) common rating errors such as "halo effect," leniency or strictness, and central tendency; and (b) bias for or against certain groups of employees that can be identified

through such characteristics as sex, race, national origin, handicaps, veteran status, and age.

3. Monitoring of the system to ensure the rating of an employee at the assigned time, and the submission of all required data and information.
4. Identification of changes in an employee's performance rating over an extended period of time.
5. Exception information that becomes a " flag" item (pinpointing problems so that corrective actions can be taken).
6. Comparison of rating behaviours (distribution of ratings) among raters.
7. Distribution of ratings across a rating scale relating to each performance dimension.
8. Variations in ratings relative to a specific performance dimension.
9. Identification of action taken as a result of performance appraisal outputs.

6.3.3 Employee performance management documents

What recommendations can be made in terms of the employee performance documents?

6.3.3.1 Job descriptions

According to the Free State Provincial Government (2003: 3), in Lombard (2005: 110), the job description is a written statement of the duties and key responsibilities of a job. It is derived from the organogram which is linked to the strategic plan. It should only be reviewed if there are critical changes to the political and strategic direction. The job description contains the elements such as KPAs and the competency profile needed to advertise a post. Although the job description will remain as part of the organogram, some of the competency elements can be carried over to the performance agreement. It is those

competency elements which I deem to be more applicable to scoring than predefined, pre-selected subjective criteria.

6.3.3.2 Performance Agreements

Currently, the KPAs are carried over from the job description and weighted. Furthermore, “subjective criteria” (GAFs or CMCs) are selected and weighted. Participants interviewed did not vehemently object to the subjective criteria, possibly because of the low weighting and the attention on the reward outcomes. The question to consider is whether employees should be rewarded for criteria such as job knowledge (they are appointed on that basis), interpersonal skills, and communication, or should the criteria be solely based on whether one achieved or exceeded output, or underperformed? Despite some participants not being perturbed by them, my initial opinion was that the subjective criteria be discarded. Further delving into the document analysis revealed that EMPDS moved into a new direction with these subjective criteria (GAFs). CMCs were discarded and only GAFs remained for all employees of salary levels 1-12. EPMDS (2018: 23) determined that GAFs should not be weighted and assessed independently, but be assessed in an integrated manner with KPAs. My only concern was still that it was subjective by nature, and interviews were on a one-on-one basis, thus not entirely negating the possibilities of power relations. Under assessment below, I propose a multi-dimensional approach to assessment to address power relations.

Huber (1987: 30) concedes that no system of appraisal is bias-free, and thus basing performance evaluation on job analysis is the only solution that would ensure that the appraisal process is legally defensible. Schneier (1978), in Huber (1987: 30), noted that any system based on subjective human ratings will raise problems because the rater may be influenced by individual differences and personal prejudices. My recommendation is that the requirements/ competencies, and skills for the job, as per job description (instead of GAFs), be incorporated in employee performance documents, as required per KPA. This would then be commensurate with the current EMPDS (2018: 15). Competencies are custom

made for a specific job as opposed to the one-size-fits all CMCs and GAFs from which employees can select a limited number that fit with their job. They should also be easier to score/ rate compared with CMCs and GAFs. It will be better to rate an official's computer skills than his/her interpersonal relations.

6.3.3.3 Work plans

Work plans are the operationalisation of the performance agreement and contain activities that are linked to the achievement of KPAs. This can be used as the basis for determining if a KPA was achieved and what performance information should be provided to corroborate performance. There is also no need for it to be a separate document.

A complaint has been levelled at supervisors and subordinates alike that they do not take the performance management process seriously. The majority of participants felt that performance management should be a deliverable in performance documents. It (performance management) would probably not be justified as a KPA/KRA on its own, but certainly should feature in the work plan. This should compel supervisors to take it serious (participant 9).

6.3.3.4 Personal Development Plans (PDPs)

EPMDS (2018: 15) states that GAFs are linked to competencies (which should be the same as in job descriptions) and are for purposes of identifying developmental needs. The disjuncture between job descriptions and the subjective criteria (GAFs and CMCs) is, however, very evident. PDPs do not have to be a separate document and can be part of the one suggested document for employee performance management. If competencies/ skills are linked to activities in work plans, it will be easier to link the non-achievement of an activity to lack of a specific skill, as opposed to subjective criteria, such as poor interpersonal relations.

McGregor (1987: 8) augments this stating that ratings on the personal characteristics of subordinates will not be suitable.

6.3.3.5 Summary

Most participants in the semi-structured interviews reflected that they just changed dates and carried employee performance documents over from year to year. This should be acceptable, provided that the annual performance plans remained the same, and no organogram or new capacity changes were required. I could not find a reason why the job description, performance agreement, work plan and PDP could not be merged into one streamlined document. This would reduce time consumed, and administrative paperwork; as well as ensure that employee performance documents are consistent with each other and the achievement of strategic objectives.

6.3.4 Submission of plans

The framework for strategic plans and annual performance plans (2010: 7) stipulates that annual performance plans of a department must be tabled within a month after the tabling of the provincial budget; normally before the start of the financial year in April. If employee performance management documents are done simultaneously as the annual performance plan, the submission dates can be the same. Given that a lot of quality assurance must still be done, a month's grace period should be adequate for submission; as is currently the case. The submission date of end of April is regulated by DPSA requirements, and the framework for strategic plans and annual performance plans (2010: 9).

6.4 Employee Performance Management Training

6.4.1 Training on the employee performance management system

One reason for dissatisfaction with PMDS could stem from misunderstanding the of the system or inadequate training on the system. Some participants were requested to qualify what they meant by that training should be done “regularly”, which was the most popular response. Most agreed (across PMDS and EPMDS) that training every quarter would be asking too much, but twice a year would be ideal, and once a year the minimum requirement. Although also suggesting twice a year, participant 7 stated that the regularity of training does not matter for some employees, because they want to interpret things in their own way; usually to favour them getting bonuses.

Training on employee performance management is essential to ensure that all employees have a thorough understanding of how the system works, what is expected and eliminate possibilities of conflict. How often should it be done? Most departments have information sessions on the topic at least once a year. In the 2017/18 APP of NCDOE (2017: 29), reference is made to extensive advocacy for both HRD and EPMDS, which acknowledges the importance of training on employee performance management. Most participants agreed that quarterly training would be asking too much, and that twice a year would be ideal, with once a year being the minimum requirement. My recommendation would be that training be at least once a year, within the first month of the financial year, and preferably before performance agreements are signed.

6.4.2 Job specific training

Participants responsible for implementing the different employee performance management systems in their respective departments concurred that job training should be ongoing. The signing of a performance agreement between supervisor and subordinate should include an informal training/ discussion of what is

expected with all activities in the work plan. This will fulfil the specific aims of both PMDS and EPMDs, that jobholders should know what is expected of them and establish a culture of learning. Supervisors should reinforce expectations with the implementation of every project. Literature studies revealed that peer and mentorship training was invaluable and saved costs. However, the problem with it is that it was often not documented and credited to a specific employee.

6.4.3 PDP related training and development

Development is the primary aim of employee performance management. The aims of establishing a culture of learning to ensure that employees know what is expected of them is taken further with training identified in the PDP. PDP related training is, first and foremost, related to underperformance. Given budget constraints, participants agreed that the underperforming officials should be prioritised, but all employees should receive training at some stage or another. Practically all participants were not happy with the training they received as it was not related to the submitted PDP. My recommendation would be that underperforming officials be prioritised for training in the first semester of the financial year based on listed training on PDPs. The remaining budget can be used for training of other officials on a rotational basis every year (as suggested by participant 2). The management of such is important to ensure that performing officials remain abreast with the latest developments in their fields, and continue to perform.

6.5 Assessment and feedback

6.5.1 Assessment frequency

Up to when departmental and employee performance plans are submitted, I have recommended that the two assessment processes run parallel. Running assessments parallel for reporting/ assessments might be problematic for two reasons: 1) employee assessment performance information informs unit

performance which must inform departmental performance. There is not enough time after a quarter to complete both processes simultaneously within the limited time-frame that departmental quarterly performance must be submitted, and 2) According to the Framework for strategic plans and annual performance plans (2010: 8), Departmental performance reports are required within 30 days after the end of a quarter and both PMDS and EPMS have moved towards a system of two informal (quarters 1 and 3) and two formal (quarters 2 and 4) semester dispensation.

Contrary to Lombard (2005: 91) who advocates for regular feedback that could be informal, my recommendation is that PMDS assessment be done formally on a quarterly basis. My motivation for this is that, according to the Framework for strategic plans and annual performance plans (2010: 8), every departmental quarterly report is preliminary and must be validated with the next quarterly report. The national Department of Planning, Monitoring and Evaluation (DPME) should reconsider this system of preliminary, and validated reports as the danger is always that preliminary reports may not be taken seriously as the opportunity for correction with the validated report is always there. If DPME could revert to a single validated report at the end of two months after a quarter, it leaves enough time for employee performance to be done in the first month after the quarter. Employee performance can then inform unit performance which can be concluded and validated in the second month after a quarter. Currently, the validated fourth quarterly departmental report is done by the second month after the quarter. There is thus, no reason why this arrangement cannot be extended to the other quarterly reports. This would mean replacing two reports (preliminary and validated) with a single validated departmental report. Any corrections to in-year reporting can be done within the annual report.

6.5.2 Feedback practices

Regular feedback on performance management is important to ensure that employees know the status of their performance and their unit's performance,

within the broader performance of the organisation. Ongoing feedback is required in both systems and not only during formal review sessions. For EMS PMDS (2017: 20), assessments are supposed to be done quarterly (two orally and 2 written), but the previous collective agreement (2002: 7) required quarterly and annual feedback. For EPMDS, assessments are currently done twice a year (1st semester and an Annual assessment that incorporates the 1st semester assessment) (2018: 25). Responses from participants varied from no feedback to infrequent feedback. It was only the implementers of the different performance management systems at both NCDOE and OTP who reported regular feedback as part of informal discussions. Feedback sessions should not just be a formality where the outcome of assessment is relayed to employees. Discussion of the outcome is very important and should also include an interview, specifically with the underperforming.

Upward feedback

The previous PMDS (2002: 12-14) contained the topic of Upward feedback. Upward feedback is when subordinates get the opportunity to give feedback to the supervisor on how he/she can manage them better. This was probably never implemented or monitored as PMDS employees interviewed had to be reminded on what is meant by it. Upward feedback also mysteriously disappeared from the new PMDS collective agreement; possibly because of problems related to implementation. After explaining the concept of upward feedback, both PMDS and EPMDS participants, although uncertain at first, thought it would be an interesting and good thing. Participant 5 was more apprehensive, stating it: "...will also be cosmetic. Its power dynamics. People would normally be afraid to ostracise their supervisor."

6.5.3 Performance information (supporting evidence)

I concur with Lombard (2005: 92) that documentation will enhance the effectiveness and reliability of employee performance management systems.

Duplication of performance information is a contributor to the perception that employee performance management is an administrative burden. This can be reduced when the supervisor collects supporting performance information during employee performance assessment, and submits it as evidence for the unit performance. The same unit performance output information is then used as departmental performance information for line functions. With such a system, some of the supporting evidence submitted for employee performance will also be subjected to audit when elevated to departmental performance level. I would also recommend an electronic upload of supporting evidence which would allow easy access by supervisors, auditors and moderating committees. Other advantages of digitising performance information include easier storage. It is noted that some departmental performance indicators are pitched at outcome and impact level and may require external supporting evidence.

6.5.4 Performance interviews

I have already recommended that employee performance assessments be done at set times on a quarterly basis, but be completed within the first month after the end of a quarter. One-on-one performance interviews, although awkward, are necessary, in order to provide that communication opportunity on work-related issues and to build relationships. Interviews should be done after all assessment scoring (self-, supervisor- and peer assessment) is done online. Peers and another supervisor (as suggested in literature study) should be invited to the interview and all will have access to the information loaded online. The presence of peers and other supervisors may negate harmful power relations and result in a more objective score.

6.5.5 Performance scoring

I agree with Swanepoel et al. (1998:401), in Lombard (2005: 104), that individual performance should be linked to the outcome of activities. If performance

management templates are already online, they do not have to be reproduced on a quarterly basis. Subordinates will be required to enter and submit their self-assessment scores and supporting documents by a pre-determined due date. Supervisors and nominated peers will then have the opportunity to submit their scores, being privy to the supporting evidence, but not the subordinates' scores. Apart from only the supervisor's score and the subordinate's self-assessment, other officials within a unit will also get the opportunity to rate a peer and the supervisor – multi-dimensional rating. Each employee can nominate at least one peer to provide an assessment score on the criteria provided. Jerome (1998: 23-25), Morgan (1997: 138-139) and Kane and Lawlor (1978), in McDermot (1987: 71), are of the opinion that self- and peer assessment can be valuable to the process. All employees within a unit must provide a management score for the supervisor - Upward feedback. The criteria to score provided by collective agreement no 3 of 2002 (2002: 13-14) can be used, but the scale reduced to a 3-point scale (Not good- 1, Good 2, Excellent -3).

A computer generated average score will be worked out for all assessments based on set criteria, which will be accessible to supervisor and subordinate. If both agree with the generated score, the assessment can be printed and signed. Cases of disagreement must be referred for moderation using the online system. Throughout this process, no time is wasted with lengthy interviews that have the potential of conflict. Furthermore, no pressure is placed on either supervisor or subordinate to provide an unrealistic score.

6.5.6 Rating scale

Rating is done per KPA with attendant activities, supporting evidence provided and the relevant skills element of the competency profile. This rating is to be done online and private at first. The recommended rating scale to be done online for KPAs would look like the table below.

Table 6: Target achieved rating

Not achieved	Achieved	Exceeded
0	1	2
The planned activity was not done	The activity was done in full accordance with the plan. Supporting evidence will be required.	The activity was done in full accordance with the plan. Through exceptional input, the output was exceeded. Supporting evidence will be required.

Table 7: Supporting evidence provided rating

Supporting evidence not provided	Supporting evidence provided (all)
0	1
No supporting evidence/ not the full set of required supporting evidence submitted	Full set of required supporting evidence submitted.

Table 8: Competency rating

Not competent	Competent	Exceeded expectation
0	1	2
The employee could not demonstrate the full range of required skill(s) to execute the activity. This could have contributed to underperformance. Training is recommended.	The employee could demonstrate the full range of required skill(s) to execute the activity.	The employee could demonstrate the full range of required skill(s) to execute the activity. The employee demonstrated additional skills that led to improvement/ better performance

The rating scales provided are very direct and force a decision of yes/no. This prevents the average score/ central tendency/ lenient rating options that are so prevalent in employee performance management systems. Very often, the difference between categories of “good” and “very good” is negligible. The average score will be out of 5 per KPA, and this will be multiplied by the weight to get the overall score per KPA. An overall employee score of between 50 and 60 represents full compliance and qualifies the employee for pay progression

only. An overall score of between 60 and 75 will qualify the employee for pay progression and a reward in that category, whilst a score of above 75 will present a higher category reward with the pay progression. Rewards should not be monetary bonuses, but alternatives solicited by the Human Resource Development, and which are divided into categories.

6.5.7 Moderation and feedback

The moderation committee will consist of the head of Human Resource Development/ representative (chair), the head of Monitoring and Evaluation/ representative, two departmental senior managers (approached by HRD), two junior officials (nominated by peers), 2 external senior managers from another department, and 1 representative per labour union (observation status). The moderation committee would only have three orders of business:

- (1) To mediate between supervisor and subordinate where no agreement on scores can be reached. Where no agreement is reached after mediation, grievance procedure follows as per DPSA regulations.
- (2) To validate scores qualifying for reward.
- (3) To standardise scores for uniformity and present a departmental picture to the executive authority.

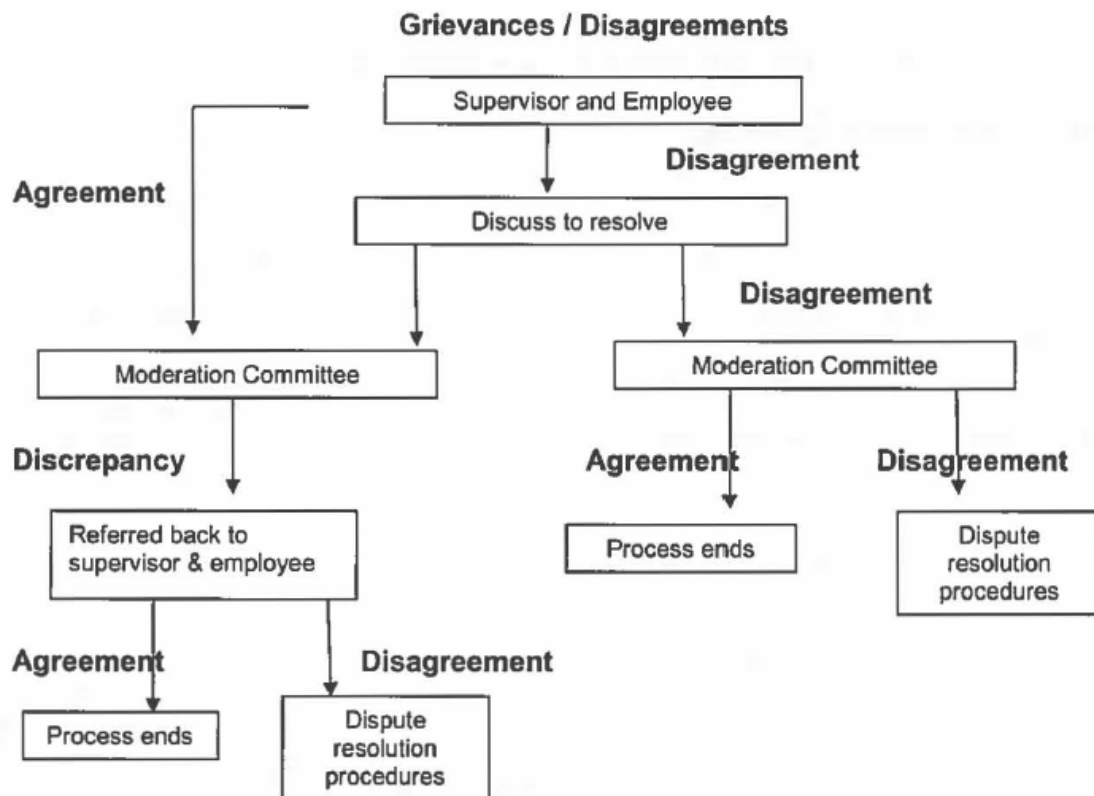
The online system closes automatically after a determined date and is then only accessible to the moderation committee. The online system should automatically present predetermined information such as:

1. the overall percentage of performance per category (underperformed, performed, exceeded performance),
2. the unit performance – it will also present the unit performance per KPA against the employee performance per the same KPA for comparison,
3. which performance scores were not agreed upon, and
4. training needs as per highlighted competency criteria.

6.5.8 Grievance/ dispute resolution

The following diagram, from EMS PMDS (2017: 51), provides an adequate procedure to follow in terms of grievances:

Figure 6: Grievance/ dispute resolution



6.5.9 Reward

Monetary reward/ performance bonus should not be implemented given the disputes attributed to it in EPMDs. The status quo of notch increments should be retained as a fairer and more objective process is followed. Attention and finances should be focussed on development. However, other forms of acknowledgement for excellent performance only should be investigated and implemented. The examples suggested by participants and taken from literature reviews for which sponsorships can be sought, can be appropriated in the way suggested in the table below.

Table 9: Suggested performance reward approach

Underperformance	Performance		
	Score 50-60	Score 60-75	Score +75
Training	Pay progression +Rotational training	Pay progression +Rotational training + Special awards - one of * Vouchers for e.g. spa treatments *Allocation of extra leave days * Bursaries from a provincial fund	Pay progression +Rotational training + Higher category Special awards - one of *Laptops (sponsored) *Local holidays (sponsored)

6.6 Consultations on employee performance management

Makamu and Mello (2014: 108) mentions that supervisors may not be comfortable with the performance management process if they have not been adequately trained or have not been part of the designing of the system. Agere and Jorm (2000: 6) agree with De Bruijn (2002: 65) that employees and their managers should be involved in both the design and implementation of the performance management instrument. This will inculcate a sense of ownership and ensure a high degree of sustainability. It will, to a large extent, ensure "buy-in" by both parties, and further simplify the implementation of the instrument. Ultimately, it makes training and implementation more relevant to the peculiar needs and problems of the public service. Working together from the planning phase to implementation may ensure a culture of belonging and commitment to the public service. This, however, may not be enough to guarantee agreement on scores and satisfaction with the system.

The successful implementation of any policy depends on the buy-in from the implementers and those it affects. This means that the more input the affected had on the policy, the more likely it was that less instances of dissatisfaction would be encountered. Practically, all PMDS participants interviewed stated that they had no input in the drafting of the collective agreement. Only participant 5 made substantial input to PMDS, which was ignored. Participant 3 mentioned that unions act on behalf of their members in the drafting of a collective agreement. Nonetheless, it is inconceivable that there has not been some form of feedback to members at some stage, whereby more input was sought.

The responses to input given to EPMDS varied. The Department of Public Service and Administration periodically develops a guide for public servants' performance management. The provincial Office of the Premier must then craft their policy from this guide and consult with provincial departments and unions (participant 9). Provincial EPMDS policies will contain parts received from the national guide that are not negotiable. This provincial EPMDS policy (2018: 36) must be reviewed every three years. How effective the consultation process is, can probably be derived from the varied responses received. Participant 6 remembered giving input into the current provincial policy via email, while participant 10 related that input was normally solicited, but it was very rare that units provide any.

It is clear that employees should at least be given adequate opportunity to give input into policies that will affect them. If they fail to give input once given the opportunity, they would have less grounds to be dissatisfied with the system. A democratic system does not guarantee the satisfaction of all affected, but it guarantees participation as a minimum requirement.

6.7 Recommendation for employee performance documents

The employee performance plan (my suggestion) is one generated document that replaces the separation of the job description, performance agreement, work plan,

and PDP. Elements from all these documents are incorporated in one document to be signed off by supervisor and subordinate. It will contain:

PART A (BIOGRAPHICAL INFORMATION)

1. Job title
2. Component
3. Job holder
4. Persal number
5. Post level
6. Date of entry
7. Employment status (Permanent/ temporary/ probation/ contract)
8. Gender

PART B

1. Purpose of the job
2. Dimensions of the job
 - a. Reporting line function
 - b. Key Performance Areas
 - c. Competencies (Knowledge and Skills)

PART C (WORK PLAN)

As per Employee work plan table (included at the end of this chapter)

PART D

Performance agreement sign off

PART E

Personal development record

Table 10: PDP record

Year	Training completed	Accredited/ not accredited	Comment on outcomes

6.8 Recommended tables for online integration

6.8.1 Employee work plan

An example of an employee work plan, for two employees, to be populated online is depicted below.

Table 11: Employee Work plan

Strategic Objective (usually 1 per programme)	Weight %	Key Performance Area	Projects	Activities	Competencies	Performance Indicator (PI)	Target for year	Quarter 1 target	Quarter 2 target	Quarter 3 target	Quarter 4 target	Supporting evidence	Responsibility	Unit
							A	Q	U	Y	Y			
Strategic Objective for programme	30	KPA1	Project 1	Activity 1	Analytical skills	PI 1							Employee1	Unit 1
					Presentation skills									
				Activity 2		PI 2	A	Q	U	Y	Y		Employee1	Unit 1
			Project 2	Activity 3	Leadership	PI 3							Employee1	Unit 1
	25	KPA2	Project 3	Activity 4	Financial management	PI 4							Employee1	Unit 1

Strategic Objective (usually 1 per programme)	Weight %	Key Performance Area	Projects	Activities	Competencies	Performance Indicator (PI)	Target for year	Quarter 1 target	Quarter 2 target	Quarter 3 target	Quarter 4 target	Supporting evidence	Responsibility	Unit
Strategic Objective for programme	30	KPA1	Project 1	Activity 2	Computer skills Presentation skills	PI 1							Employee2	Unit 1
				Activity 2		PI 2							Employee2	Unit 1
	25	KPA2	Project 3	Activity 5		PI 3							Employee2	Unit 1

6.8.2 Unit plan

The employee work plans for all employees feed into the unit plan (as below):

Table 12: Unit plan

Unit 1	Strategic Objective (SO)	Key Performance Area	Projects	Activities	Budget/ Funding	Programme Performance Indicator (PPI)	Target for year	Quarter 1 target	Quarter 2 target	Quarter 3 target	Quarter 4 target	Short Definition	Purpose/ Importance	Source/ Collection of Data/ Supporting evidence	Method of Calculation	Data Limitations	Type of Indicator	Calculation Type Cumulative/ Non-Cumulative	Reporting cycle	New Indicator	Desired Performance	Responsibility
Unit 1	SO 1	KP A1	Pr 1	Act1																		Unit manager
				Act2		PPI 1	A	Q	U	Y	Y		As per Technical Indicator Descriptor guide in FSPAPP									Unit manager
			Pr 2	Act3																		Unit manager
		KP A2	Pr 3	Act4		PPI 2																Unit manager

6.8.3 Annual performance plan (departmental)

Unit plans feed into departmental annual performance plans as below:

Table 13: Strategic plan template

Programme	Strategic Objective (SO)	Strategic Objective Performance indicators (SOI)	Baseline year 1 audited	Baseline year 2 audited	Baseline year 3 estimated	Target for year X	Outer year 1 target	Outer year 2 target	Outer year 3 target	Outer year 4 target	Outer year 5 target
1	SO 1	SOI 1									
Short Definition				Provides a brief explanation of what the indicator is, with enough detail to give a general understanding of the indicator							
Purpose/ Importance				Explains what the indicator is intended to show and why it is important							
Source/ Collection of Data/ Supporting evidence				Describes where the information comes from and how it is collected							
Method of Calculation				Describes clearly and specifically how the indicator is calculated							
Data Limitations				Identifies any limitation with the indicator data, including factors that might be beyond the department's control							
Type of Indicator				Identifies whether the indicator is measuring inputs, activities, outputs, outcomes or impact, or some other dimension of performance such as efficiency, economy or equity							
Calculation Type Cumulative/ Non-Cumulative				Identifies whether the reported performance is cumulative, or non-cumulative							
Reporting cycle				Identifies if an indicator is reported quarterly, annually or at longer time intervals							
New Indicator				Identifies whether the indicator is new, has significantly changed, or continues without change from the previous year							
Desired Performance				Identifies whether actual performance that is higher or lower than targeted performance is desirable							
Responsibility				Identifies who is responsible for managing and reporting the indicator							

Table 14: Annual Performance Plan

Programme	Strategic Objective	Performance indicators	Baseline year 1 audited	Baseline year 2 estimated	Target for year X	Quarter 1 target	Quarter 2 target	Quarter 3 target	Quarter 4 target	Outer year 1 target	Outer year 2 target
1		PPI 1			A	Q	U	Y	Y		
Performance against target per quarter											
Reason for deviation											
Corrective action											
Short Definition				Provides a brief explanation of what the indicator is, with enough detail to give a general understanding of the indicator							
Purpose/ Importance				Explains what the indicator is intended to show and why it is important							
Source/ Collection of Data/ Supporting evidence				Describes where the information comes from and how it is collected							
Method of Calculation				Describes clearly and specifically how the indicator is calculated							

Programme	Strategic Objective	Performance indicators	Baseline year 1 audited	Baseline year 2 estimated	Target for year X	Quarter 1 target	Quarter 2 target	Quarter 3 target	Quarter 4 target	Outer year 1 target	Outer year 2 target
Data Limitations				Identifies any limitation with the indicator data, including factors that might be beyond the department's control							
Type of Indicator				Identifies whether the indicator is measuring inputs, activities, outputs, outcomes or impact, or some other dimension of performance such as efficiency, economy or equity							
Calculation Type Cumulative/ Non-Cumulative				Identifies whether the reported performance is cumulative, or non-cumulative							
Reporting cycle				Identifies if an indicator is reported quarterly, annually or at longer time intervals							
New Indicator				Identifies whether the indicator is new, has significantly changed, or continues without change from the previous year							
Desired Performance				Identifies whether actual performance that is higher or lower than targeted performance is desirable							
Responsibility				Identifies who is responsible for managing and reporting the indicator							

6.8.4 Employee quarterly reporting

Online assessments, as per examples below, is to be done by the employee, supervisor and peer, as well as the upward feedback for supervisor by the unit.

Table 15: Quarterly reporting assessment

Activities	Competency assessment criteria	Self-Assessment						Supervisor Assessment				Peer Assessment			
		Target: Not achieved (1), Achieved (2), Exceeded (3)	Supporting evidence not provided (0), Only essential provided (1), All provided (2)	Competency criteria: Not competent (0), Competent (1), Exceeded expectation (2)	Supporting evidence uploaded	Motivation for score/ Reason for deviation	Target: Not achieved (1), Achieved (2), Exceeded (3)	Supporting evidence not provided (0), Only essential provided (1), All provided (2)	Competency criteria: Not competent (0), Competent (1), Exceeded expectation (2)	Motivation for score	Target: Not achieved (1), Achieved (2), Exceeded (3)	Supporting evidence not provided (0), Only essential provided (1), All provided (2)	Competency criteria: Not competent (0), Competent (1), Exceeded expectation (2)	Motivation for score	
Activity 1	Analytical skills														
	Presentation skills	2	1	1			1	1	0			2	1	1	
Activity 2		2	1	2			1	1	1			2	1	2	
Activity 3	Leadership	2	1	2			1	0	1			2	1	1	
Activity 4	Financial management	2	1	2			1	1	0			2	1	2	

Table 16: Upward feedback

Upward feedback for supervisor X			
Communication- Not good- 1, Good 2, Excellent -3	Leadership - Not good- 1, Good 2, Excellent -3	Planning - Not good- 1, Good 2, Excellent -3	Motivation/ Comment(s)

6.9 Employee performance

Credible employee performance scorecards (as per example below) should automatically be generated. A low PDP score must automatically be highlighted to indicate priority for training. The summary of KPA score will provide the basis for reward allocation (pay progression, special awards).

Table 17: Employee scorecard

Strategic Objective (usually 1 per programme)	Weight %	Key Performance Area	Projects	Activities	Competence assessment criteria	Performance Indicator (PI)	Target for year	Quarter 1 target	Supporting evidence	Reason for deviation (if any)	Responsibility	Target: Not achieved (0), Achieved (1), Exceeded (2)	Supporting evidence not provided (0), All provided (1)	Competency criteria: Not competent (0), Competent (1), Exceeded expectation (2)	Performance per activity	Performance per KPA	Weighted performance per KPA	Unit KPA performance	PDP
SO for programme	30	KPA 1	Pr 1	Act 1	Analytical skills	PI 1			Supporting evidence is listed by employee - correspond with what is uploaded		Employee1	X	Y	Z					
					Presentation skills							1,7	1,0	0,7	3,3	3,8	22,7		0,7

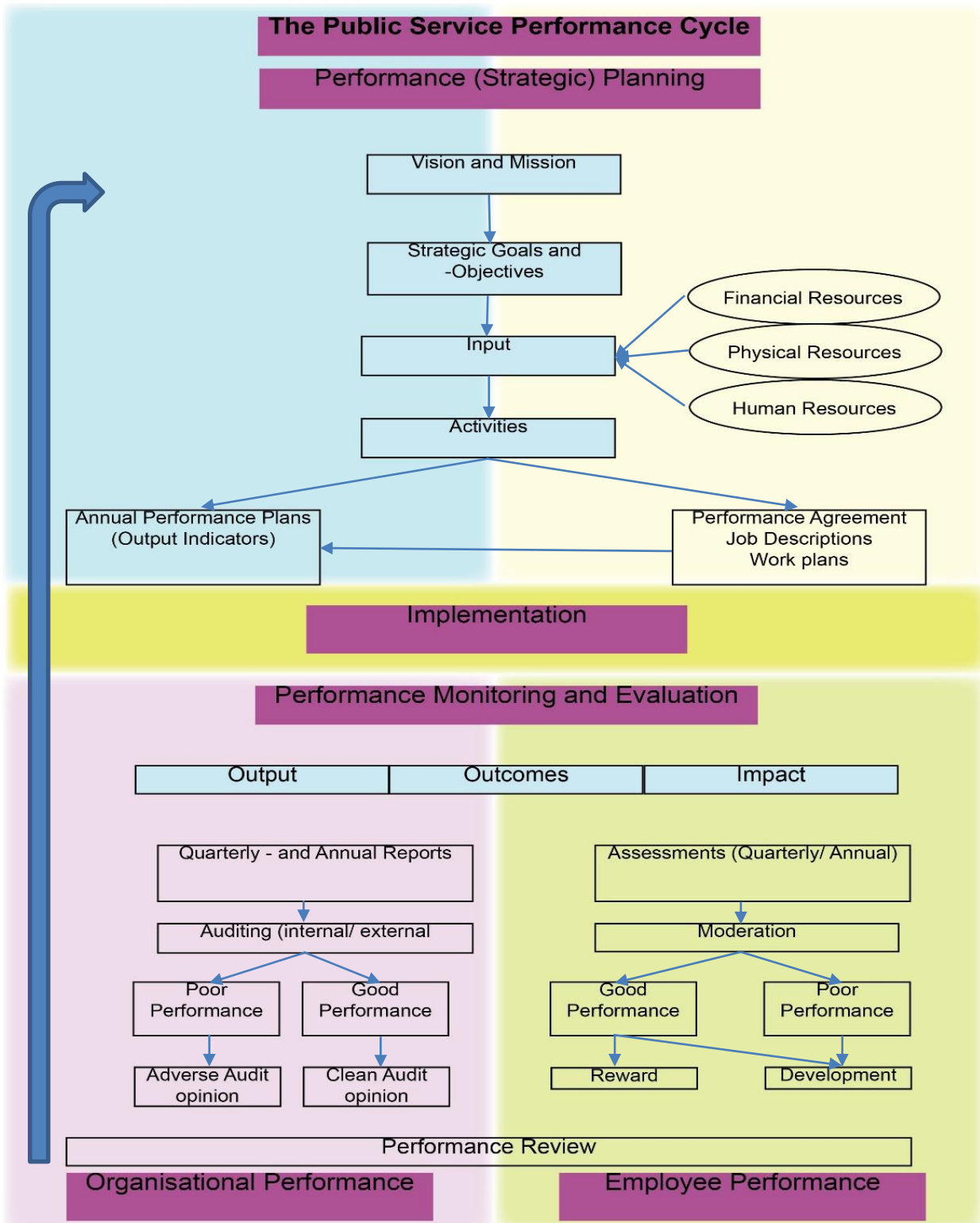
Strategic Objective (usually 1 per programme)	Weight %	Key Performance Area	Projects	Activities	Competence assessment criteria	Performance Indicator (PI)	Target for year	Quarter 1 target	Supporting evidence	Reason for deviation (if any)	Responsibility	Target: Not achieved (0), Achieved (1), Exceeded (2)	Supporting evidence not provided (0), All provided (1)	Competency criteria: Not competent (0), Competent (1), Exceeded expectation (2)	Performance per activity	Performance per KPA	Weighted performance per KPA	Unit KPA performance	PDP
									Supporting evidence is listed by employee - correspond with what is uploaded			Average score from Self, Supervisor - and Peer Assessment	Average score from Self, Supervisor - and Peer Assessment	Average score from Self, Supervisor - and Peer Assessment	Sum of scores per activity (X+Y+Z)	Average score (Sum of scores per activity/ total number of scores per activity)	(Performance per KPA/5*Weight)	Average unit score from Unit report	Highlights competency scores of less than 1
				Act 2		PI 2					Employee1	1,7	1,0	1,7	4,3				1,7
			Proj 2	Act 3	Leadership	PI 3					Employee1	1,7	0,7	1,3	3,7				1,3
	25	KPA 2	Proj 3	Act 4	Financial management	PI 4					Employee1	1,7	1,0	1,3	4,0	4,0	20,0		1,3
Employee score																	Sum of KPA scores		

6.10 Conclusion

Upon interacting with the employee performance management systems for office-based educators (PMDS) and employees appointed under the Public Service Act no 103 of 1994 (EPMDs), I found many similarities, especially in the latest approved documents. Given the problems experienced with both systems, I have no hesitation in recommending that a single employee performance management system be investigated for all office-based public service officials. However, a midway had to be found to make the system more user-friendly, less time-consuming and more objective. I am confident that the system suggested in this chapter fulfils in that regard. My suggested approach was also aimed at reducing

time-consuming administrative paper work. Regular feedback is guaranteed and employees should have less to be unhappy about in the work place. In summary, I include a self-designed diagram below, which depicts how the planning and performance management at departmental level should interact.

Table 18: Public service performance cycle



Chapter 7. Conclusions and recommendations

7.1 Introduction

This research responded to specific questions per chapter, which would ultimately provide answers to the main research question and secondary questions as stated in Chapter 1. This chapter summarises the conclusions drawn from literature reviews, document analysis and semi-structured interviews in order to justify recommendations; which are practically embedded within the suggested approach in chapter 6. The suggested approach in chapter 6 also account for the main research question.

7.2 Reflection on theoretical framework

The reported dissatisfaction with employee performance management resonated with my personal experience and prompted an endeavour to suggest an alternative approach for office-based educators. There have been some studies done on employee performance management which concentrated mostly on perceptions on the system aspects (management studies) through a positivist lens. Despite many recommendations for improvement of public employee performance management, disgruntlement seems to persist. I purposefully broadened my approach to also produce new knowledge, which included perspectives of the human implementers of the system as well as an integrated perspective on how PMDS should fit into achieving corporate goals.

After proper review of theoretical frameworks, it became clear that I would have to move away from a positivist approach in order to gain more in-depth information as to why current public employee performance management systems fail and what improvements can be recommended. Interpretivism provided the appropriate lens through which information can be gathered and interpreted to provide answers to the aims of the research. The literature review and document analysis

yielded the necessary information from which semi-structured questions were constructed enabling eliciting information from participants. From this approach, relevant information could be discerned that contributed to the crafting of a suggested approach to employee performance management in the public sector.

The power relations evident in PMDS required a specific theoretical lens. My justification for a critical community psychology perspective was elaborated in chapter 2. The office-based educators qualified as a unique community that should play an active role in addressing their own dissatisfaction. If the recommendations of this research are considered, the following empowerment ideals of critical community psychology will be realised.

- Intervention – a status of dissatisfaction with PMDS cannot continue forever and needs intervention at some stage or another. This study provided opportunity for intervention, specifically with regards to addressing power relations.
- Empowerment of oppressed – Critical community psychology endeavours to empower those who are at the short end of an unequal relationship. By levelling the playing fields through suggestions like peer reviewing, fewer opportunities are presented for abuse of power. This can be uplifting for the oppressed, and beneficial for the system.
- Prevention of problems and resultant dissatisfaction – Using best practices from other systems and loopholes uncovered through document analysis the suggested approach is aimed at preventing situations where power relations can be executed.
- Participation - A PMDS system can be designed to perfection, but the meaningful participation of employees is instrumental in preventing problems and dissatisfaction. Through this study, employees became active participants in solving their problems with employee performance management. This is congruent with encouraging community psychologists to be active “social change agents” and “participant conceptualisers” (Rickel, 1987: 511).

- Social justice - Referred to as the creation of a “fair and equal society in which each individual matters, their rights are recognized and protected, and decisions are made in ways that are fair and honest” (Oxford reference, n.d.)⁸. Fairness and honesty are compromised in instances of power relations. Equality prevails if more participants express satisfaction in their workplace. Social justice represents a quest for fairness and equality in a system open for abuse as is evident in PMDS. My suggested approach included aspects of nullifying power relations.
- Diversity- in community psychology context is referred to as social characteristics such as sexual orientation, gender, and race (cf. 2.2.7.2.6). This study looked at diversity from a human interpretation, exploitation and abuse perspective. In a PMDS scenario, some employees will assume a power position and subject others to be subservient. This study’s approach to power relations is preventative towards the inevitable disharmony that will thwart organisational well-being. Human behaviour will always be diverse and not always easy to control through laws. However, a fair system that closes opportunity for abuse, will also allow for humans to flourish in their diversity. When the employees flourish, the organisation follows suit.
- Wellness- not meant in a medical sense, means moving from dissatisfaction to acceptance through a critical community psychology approach. Through active participation in this study and the recommended consultations in the development of PMDS, office-based educators become agents for their own wellness.

7.3 Response to secondary research questions

By interpretation of employee perceptions and comparing PMDS with other employee management systems, including the private sector; one could uncover possible causes of disgruntlement and areas for improvement. The comparison with the private sector yielded too many differences in approach and practice,

⁸ <http://www.oxfordreference.com/view/10.1093/oi/authority.20110803100515279>

which cannot necessarily be carried over from one sector to another. My personal opinion is that PMDS is a well-structured system with room for improvement. Perceived disgruntlement with PMDS may not be because of the system itself, but a consequence of poor implementation.

7.4 Key findings/ conclusions

The literature study, document analysis and semi-structured interviews covered similar themes which were used to form the basis of the key findings and recommendations.

7.4.1 Improving corporate goals

Discussion

The third secondary question of this research, as captured in chapter 1, questioned how employee performance management should contribute to the achievement of corporate goals. Public employee performance management systems are supposed to assist with achieving corporate goals by developing officials that underperform and motivating officials that perform to continue with such performance. This is in congruence with what emerged from literature, that performance management includes planning workers' performance, facilitating the achievement of goals, and effecting the review of performance so that it is motivational and in line with the objectives of the organisation (cf. 3.3.1). There should be a direct link between what is planned for the organisation to achieve, and the role that each and every employee plays in the achievement of organisational goals (cf. 3.6). Even the lowest level employees (e.g. cleaners) should understand their role in the achievement of organisational goals. Because the planning and monitoring of organisational goals falls under a different component from employee performance management, the risk exists that there will not be synergy between the outcomes of both processes.

Finding

Most participants interviewed admitted that, although it should be linked, they could not see a link between employee performance and organisational performance. Some maintained that the processes are separate. This view concurs with literature reviews on the reasons why employee performance management systems sometimes fail. Once strategic planning is done, job descriptions are not adjusted accordingly (Tlhogo, 2009: 7). Currently, it seems as if PMDS is regarded as a separate process that does not necessarily relate to the realisation of corporate goals.

Recommendation

If performance management is to contribute to improving organisational performance, there should be a very transparent link between the two processes. In my suggested approach, I attempt to foster that link with an integrated electronic planning, monitoring and reporting system. This takes into account best practices from current public performance systems, as well as requirements from the current provincial monitoring and reporting systems. Strategic planning should, not just be a process that links annual plans with available budget, but also clearly stipulates the roles of the human resources in executing plans. For this to be more effective, the low management commitment should be strengthened by including PMDS as an activity in the performance management documents of supervisors (cf. 1.3; 3.9). The collapsing of performance management documents into an electronic, less cumbersome and more transparent system that is linked to performance plans, is a recommendation that might reduce frustrations. PMDS should not be an administrative and bureaucratic waste of time that satisfies malicious compliance.

7.4.2 Understanding job expectations

Discussion

For organisational performance to improve, officials have to understand systems and understand their work expectations. This would entail the interlink between strategic planning and the completion of employee performance management documents. KPAs should have a direct link to the achievement of strategic objectives. Employees should be exposed to user friendly performance instruments that give them a clear understanding of what must be done, how it must be done, and by when it must be done. Should the incumbent employee leave his/her job, the replacement should not have difficulty in ascertaining what was done and what must still be done.

Finding

Literature reviews singled out poor understanding of what is expected as a reason for the failure of employee performance management systems. Proper understanding of what is expected is actually recommended for employee performance management to be successful. Although interviewed participants gave the impression that they understood their job expectations, they recognised the value of employee performance management in consolidating that understanding.

Recommendation

Proper training in, and regular exposure to, employee performance management systems and the activities to be performed to achieve the KPAs, is non-negotiable. This aspect is also addressed in my suggested approach. Furthermore, the integrated approach between planning, finances and human resources, already alluded to, is key to understanding what is expected from each employee.

7.4.3 Fostering good working relations

Discussion

Through PMDS, interaction between staff should be encouraged. This should assist with common understanding of what must be done and how it will be reported on. A good working relationship should be conducive to achieving corporate goals. The literature review chapter reflected on how the performance management process significantly affects organisational success by having managers and employees work together to achieve set expectations, review results, and reward performance (cf. 3.3.1). The exertion of power has the possibility of thwarting the good intentions of employee performance management. Judging others is an uncomfortable process and that employees and supervisors alike do not enjoy the prospect of engaging in appraisal sessions (cf. 3.9).

Finding

Employee performance management requires one-on-one contact, but scoring and subsequent reward bedevils working relations when used as a weapon (cf. 3.3.1). Interviewed employees in higher positions purport to have good relationships with their supervisors, but the same cannot be claimed for those occupying lower positions. This was the precise reason why I wanted to include a good mix of supervisors and subordinates in my sample of participants.

Recommendation

The possibility of exertion of power must be negated if employee performance management is to attain some level of credibility. My suggested approach eases one-on-one contact during assessment, but encourages such during planning and execution. With the inclusion of a peer reviewer and another supervisor at interviews, chances of domineering supervisors forcing their way, may be minimised. With monetary reward/ bonus out of the way, less opportunity for dissatisfaction might ensue. I am not as negative as participant 5 who claimed that

the system would collapse without any monetary reward. If notch increments remain, they would be a form of monetary reward which can be supplemented with non-monetary awards.

7.4.4 Objectivity vs Subjectivity

Discussion

Subjectivity is the bad element that nobody wants in an employee performance management system. Unfortunately, it seems that this element cannot be avoided as the aspects to be assessed are subjective by nature – they depend on human interpretation which leave them open to abuse.

Finding

Interviewed participants did not seem overly perturbed by the subjective elements of employee performance management, but more so by the abuse it is open to. This leaves the crafters of employee performance management systems with the challenge of mitigating the possibilities of abuse.

Recommendation

Through my suggested multi-dimensional approach and using electronic systems, much of the subjectivity can be eliminated and less blame apportioned to one individual (usually the supervisor). The initial “secret ballot” approach of online scoring provides an opportunity for honest assessment scores. Pre-selected performance elements from a pre-defined list is too presumptuous. In doing away with GAFs and CMCs, I linked competency requirements from job descriptions to activities where they will be required. Competency requirements are also open to differing human interpretation, but to a lesser extent, and performance can be proved. With less disputes envisaged, especially with the abolishment of monetary reward, motivation levels should not be adversely affected.

7.4.5 Training and development

Discussion

The link between the "performance" and "results", as well as between "output" and "outcomes" was highlighted in the literature review chapter (cf. 3.3.1). Employee performance management systems are designed around "logical" consequences of reward for good performance and training/ development for underperformance. Most employees see themselves in the deserving reward category and comparison with others is commonplace. Where development through training should be a positive thing, it gets a negative connotation because it is associated with underperformance. Likewise, one could argue whether good performance should disqualify one from training/ development.

Finding

Training and development should be budgeted for to ensure continuous skilling of all employees towards the requirements of achieving strategic objectives. Most participants felt that training and development should be availed to all employees. However, budget and the time that training takes, does not allow for this ideal. The general feeling from participants was that training through the workplace skills plan is a farce. In defence of the HR practitioners responsible for training, the limited budget and unending wish lists complicated their task. Nonetheless, there can be no excuse for poor planning.

Recommendation

I have already emphasised the need for systems training and work related training. Time allocation for training is essential in instances where workloads are heavy. In my suggested approach, I linked competency with activities so that it can be highlighted for inclusion in the PDP. In this way, identified training needs would be informed by the system instead of unrelated wish lists.

Provision of training is hampered by lack of budget. With my suggested abolishment of monetary incentives, more money should be available for training. This would fulfil interviewed participants' sentiments that all employees should get training (not just the underperforming). In fact, training can be included as a reward. In instances where there is still a budget shortfall, a rotational system of training for the performing officials should be implemented (underperforming must be prioritised).

7.4.6 Reward for good performance

Discussion

If training/ development is the consequence for underperformance, then reward is expected for good/ excellent performance. Literature studies dictate that thorough understanding of what is expected to be achieved and what would constitute exceptional performance, is a prerequisite for a good employee performance management system. It is, however, human interpretation and – aspirations that bedevil this ideal.

Finding

It was very evident from the interviews that EPMDS seemed to have more disputes/ disgruntlement, specifically because of the monetary reward for exceptional performance. This did not mean that PMDS officials were entirely satisfied with their system, especially if they compared their outcomes with those of EPMDS employees. Interviewed participants were asked if they were entirely happy with the performance management system that they used. The majority of participants were not entirely happy with their performance management system, justifying a need for inspection. The reasons cited related to the rewards aspect, the subjectivity aspect, lack of training, no correlation between unit and employee performance, and non-compliance. Participant 9 related one positive difference with the private sector, that their objectives were much clearer. If the employee met the objective, performance bonus was automatic. In EPMDS, the employee

needed to still motivate through a process of moderation. As an implementer of the process, participant 5 expressed a passion for the system, and that it had the potential to turn any institution around. The frustrations of the process, which I assumed to be human related, were just not controllable.

Recommendation

In the literature study (cf. 3.9), the need to balance reward with employee wellness, employee development, and fairness of treatment is expressed. Monetary reward as a performance bonus should be abolished. PMDS currently does not have this and I would recommend that the status quo should remain. The notch increment for good performance should be retained for all office-based public servants. Alternatives for reward, as identified by participants and the literature review, were not a far-fetched idea. HRD officials needed to work tirelessly towards soliciting prizes and awards. With the scoring system I am suggesting, more objective scores would be in the system and rewards would only be awarded for officials that exceeded performance.

7.5 A singular employee performance management system

One of the first questions I was confronted with was why there were separate employee performance management systems for office-based public servants. It made perfect sense to me why school-based educators should have an occupation specific performance management system (IQMS) as the working environment is totally different to office-based educators. However, my personal experience in both PMDS and EPMDS was that, there was no logical reason why office-based public servants should not be subjected to the same employee performance management system. I directed this question to one of the specialist participants who attributed the separate systems to the fact that office-based educators and employees appointed under Public Service Act no 103 of 1994, are appointed under different Acts. This may not have been an adequate reason for separate systems and why a uniform employee performance management system

cannot be a reality. The employee performance management system should provide an approach to which different sub units in an organisation can subscribe.

This research uncovered many similarities between the two public performance management systems analysed. The differences were too negligible to warrant separate systems. My recommendation for the drafting of an employee performance management system for office-based public servants is that the implementation of a uniform system for office-based educators and public servants be investigated. The South African Department of Public Service and Administration should take the lead in this regard, and be supported by labour unions.

7.6 How can employee performance management be strengthened?

Armstrong and Appelbaum (2003) in Mohube (2009: 20) are of the opinion that too much emphasis is placed on filling in forms and too little necessary training takes place. They suggest that a further possible reason for low management commitment could be the difficulties of measuring intangibles. The issue of time constraints also deserves mention here. Supervisors simply do not have the time to engage in long discussions and the completion of paper work necessary for the appraisal system (Henderson, 1984: 14).

Rademan and Vos (2001), in Simons (2009: 21), are of the opinion that continuous review and evaluation of a performance management system is necessary to ensure that staff perceives the process to be fair. Garber (2004: 7) concurs with this, stating that if performance systems are not meaningful to either the individual or the organisation, they will become routine exercises in which little or no benefit is gained.

Consistent with Ainstey, et al.'s (1976: 15-17) idea, research has shown that employees' acceptance of the performance evaluation system increases when the performance goals and the performance evaluation process are perceived as job relevant and employees participate in setting performance goals. It is thus incumbent on supervisors to ensure the participation of subordinates.

Training is needed to improve accuracy in making performance assessments and to reduce evaluator errors due to bias or subjective elements (Heneman & Wexley, 1983; Murphy et al., 1982) as cited in Simons (2009: 30). Simons (2009: 30) highlights frequent observation to ensure accurate evaluations and that several sources should be used as they would see different aspects of performance. Simons (2009: 31) also highlights the importance of immediate feedback in increasing employee acceptance of administrative decisions and identifying training needs.

Performance management would be successful if managers and other employees look forward to the process and the Human Resource officials do not have to hound employees to carry out their responsibilities (Bacal, 1999: 11).

Minogue (1998: 26, United Nations, 2005: 55), in Cameron (2009: 23), highlight the importance of managers' obligations and accountability for their performance through performance targets. Cameron (2009: 23) cites various authors who highlight common or related aspects which should be part of performance management. These include:

- the setting of explicit goals and measurement of performance (Hood, 1991: 52),
- the setting of performance indicators and targets (Pollitt, 2001:473-474),
- focus on results and which entails stressing performance by both individuals and departments (Hughes, 2003:54-55),
- performance contracting, a written or negotiated agreement between government and managers wherein quantifiable targets are explicitly specified

for a given period and performance is measured against targets at the end of the period. (Larbi, 1999:23),

- performance-based accountability through contracts (Polidano,1999), and
- measurement of performance being a central feature of public management reform in many countries (Poliitt and Bouckaert, 2004: 90)

Ainstey et al. (1976: 41-45) provide simple guides for the successful implementation of a performance management system:

- 1) Get buy-in from top management. This is the most crucial element that determines the success of a performance management system. I would hasten to include the buy-in of all employees as crucial.
- 2) Careful planning and the implementation of plans to ultimately achieve set corporate goals.
- 3) Regular feedback. Nothing can be more frustrating than participating in a process and not knowing the outcome. Feedback should include upward feedback.
- 4) Avoid close linkage with pay progression or bonuses. In most organisations, performance assessments are linked to some form of reward. The importance of reward as a motivating factor for excellent performance and even just to ensure participating in a performance management system cannot be discounted. Unfortunately, the element of reward sways the power balance into the hands of the autocratic, domineering boss.
- 5) Continuous and effective monitoring. This should also include the annual review and, if necessary, improvement of the system.
- 6) Keep the system simple. Complicated systems can certainly contribute to participants losing interest.

De Bruijn (2002: 56) rates trust as a very important value in performance management systems. Distrust could lead to unfair assessments, top down control and general undermining of the system. He also states that mutual trust is higher in process- orientated performance management as opposed

to product- orientated performance management. All of this assumes that both employee and supervisor will always cooperate to let the system work. Employees who may want to cover up poor performance, may feel a strong incentive not to be cooperative (De Bruijn, 2002: 102).

7.7 Recommendations for further study

The following issues emerging from this study, can be pursued in future research:

- A common employee performance management approach in the public service.
- Reward and development options for employee performance management.
- Software solutions for employee performance management.

7.8 Concluding word

The qualitative nature of this research had certain limitations which must be borne in mind. Only a limited number of participants could be included in the research which may compromise the generalisability of some of my conclusions. Furthermore, in terms of EPMDS, participants from only two out of 12 provincial departments were involved in the study. Each provincial department could be having specific dynamics that influence the implementation of systems in that department e.g. a strong, competent HoD. The above represents but a few of the limitations of this study.

A unique challenge was presented during the study in that both systems earmarked for document analysis, changed during the study. This did not affect the study much as the changes in both documents were negligible. In fact, more commonalities were found that strengthened my call for a singular public service employee performance management system. The interaction with participants

was rewarding for me and contributed to unearthing a wealth of knowledge that could be incorporated in a suggested approach to the implementation of employee performance management. I remain convinced that, if the recommendations suggested are implemented, less disgruntlement and better organisational performance will be evident.

BIBLIOGRAPHY

- Agere, S. and Jorm, N. (ed.) (2000) *Designing performance appraisals. Assessing needs and designing performance management systems in the public sector*, London: Commonwealth Secretariat.
- Aggarwal, A. and Gour, S.M.T. (2013) 'Techniques of performance appraisal', *International Journal of Engineering and Advanced Technology*, vol. 2, no. 3, February, pp. 617-621.
- Ainstey, A., Fletcher, C. and Walker, J. (1976) *Staff appraisal and development*, London: The Devonshire Press Ltd.
- Aluko, R., Omidire, F. and Mampane, R. (2018) 'Quality assurance in distance education and ethical imperatives', in Sefoto, M.M. *Philosophy in education and research*, Pretoria: Van Schaik Publishers.
- Angelique, H.L. and Culley, M.R. (ed.) (2007) 'History and theory of community psychology: An international perspective of community psychology in the United States: Returning to political, critical, and ecological roots', in Reich, S.M., Riemer, M., Prilleitensky, I. and Montero, M. *Conclusion: History and theories of community psychology around the globe*, California: Springer.
- Anonymous (Unfairly treated) (2012) *in Diamond Fields Advertiser*, Its so unjust: 27 September: 18.
- Bacal, R. (1999) *Performance Management*, New York: R.R. Donnelley and Sons Company.
- Bagarette, N. (2011) 'Power relations in school governing bodies: Implications for effective school governance', *Journal for Social Sciences*, vol. 29, no. 3, pp. 223-236.
- Bagarette, N. (2012) 'Partnerships between SGBs and principals in public schools: Reasons for the failure of the partnerships.', *International Journal of Educational Sciences*, vol. 4, no. 2, pp. 97-106.
- Banyard, V.L. and Miller, K.E. (1998) 'The powerfull potential of qualitative research for community psychology', *American journal of community psychology*, vol. 26, no. 4, pp. 485-502.

Booth, A., Papaioannou, D. and Sutton, A. (2012) *Systematic approaches to a successful literature review*, London: Sage Publications Ltd.

Bouckaert, G. and Halligan, J. (2008) *Managing performance. International comparisons*, New York: Routledge.

Bowen, G.A. (2009) 'Document analysis as a qualitative research method', *Qualitative research journal*, vol. 9, no. 2, August, pp. 27-40.

Brenner, M., Brown, J. and Canter, D. (1985) *The research interview: Uses and approaches*, London: Academic Press, Inc.

Businessdictionary, [Online], Available:

<http://www.businessdictionary.com/definition/social-justice.html> [23 April 2018].

Cambridge dictionary, [Online], Available:

<http://dictionary.cambridge.org/dictionary/english/manager?q=Manager> [22 April 2018].

Cambridge dictionary, [Online], Available:

<http://dictionary.cambridge.org/dictionary/english/performance-management> [22 April 2018].

Cambridge dictionary, [Online], Available:

<http://dictionary.cambridge.org/dictionary/english/appraisee> [22 April 2018].

Cambridge Dictionary, [Online], Available:

<https://dictionary.cambridge.org/dictionary/english/performance-indicator> [22 April 2018].

Cambridge dictionary, [Online], Available:

<https://dictionary.cambridge.org/dictionary/english/work> [22 April 2018].

Cambridge dictionary, [Online], Available:

<https://dictionary.cambridge.org/dictionary/english/plan> [22 April 2018].

Cameron, R. (2009) 'New public management reforms in the South African Public Service: 1999-2008 (Paper presented at political studies departmental seminar, 28 April 2009)', University of Cape Town.

- Carroll, S.J. and Schneier, C.E. (1987) 'The rater as information processor', in Schneier, C.E., Beatty, R.W. and Barid, L.S. (ed.) *The performance management sourcebook*, Amherst: The Human Resource Development Press.
- Casley, D.J. and Kumar, K. (1989) *The collection, analysis, and use of monitoring and evaluation data*, Baltimore: The Johns Hopkins University Press.
- Cohen, L., Manion, L. and Morrison, K. (2018) *Research methods in education*, New York: Routledge.
- Common Paradigms *Qualitative and Quantitative Methods*, [Online], Available: <http://www.qualres.org/HomePhil-3514.html> [29 January 2014].
- Costello, S.J. (1993) *Effective performance management*, New York: McGraw - Hill Education.
- Creswell, J.W. (2009) *Research design: Qualitative, quantitative, and mixed method approached*, 3rd edition, Los Angeles: SAGE.
- Dalton, J.H., Elias, M.J. and Wandersman, A. (2007) *Community psychology: Linking individuals and communities*, 2nd edition, Belmont: Thomson Wadsworth.
- Daniel, J. (2012) *Sampling essentials*, Los Angeles: Sage Publications.
- Dash, N.K. (2005) *Online research methods resource for teachers and trainers: Module: Selection of the Research Paradigm and Methodology*, June, [Online], Available: http://www.celt.mmu.ac.uk/researchmethods/Modules/Selection_of_methodolog y/ [27 January 2014].
- De Bruijn, H. (2002) *Managing performance in the public sector*, New York: Routledge.
- DeNisi, A.S. and Kluger, A.N. (2000) 'Feedback effectiveness: Can 360-degree appraisals be improved?', *Academy of Management Executive*, vol. 14, no. 1, pp. 129-139.
- Denscombe, M. (2010) *The good research guide for small- scale social research projects*, 4th edition, Berkshire: Open University Press.

- Du Plessis, M.M. (2010) *Analysing the effectiveness of a performance management system at the University of the Free State (unpublished dissertation)*, University of the Free State: Bloemfontein.
- Duncan, N., Bowman, B., Naidoo, A., Pillay, J. and Roos, V.(. (2007) *Community psychology: Analysis, context and action*, Cape Town: UCT Press.
- Fondacaro, M.R. and Weinberg, D. (2002) 'Concepts of social justice in community psychology: Toward a social ecological epistemology', *American journal of community psychology*, vol. 30, no. 4, August, pp. 473-491.
- Fox, D., Prilleltensky, I. and Austin, S. (2009) *Critical psychology: An introduction*, 2nd edition, London: Sage.
- Francescato, D. (2005) 'Areas in need of our attention: political psychology, virtual communities, and the feminization of the field', *The Community Psychologist*, vol. 38, no. 4, p. 39.
- Fryer, D. and Fagan, R. (2003) 'Toward a critical community psychological perspective on unemployment and mental health research', *American Journal of Community Psychology*, vol. 32, no. 2, September, pp. 89-95.
- Fryer, D. and Laing, A. (2008) 'Community psychologies: What are they? What could they be? Why does it matter? A critical community psychology approach.', *Australian community psychologist*, vol. 20, no. 2, December, pp. 7-15.
- Fynn, A.W.R. (2011) *An appreciative inquiry of an NGO that delivers empowerment driven education support services (unpublished dissertation)*, Pretoria: UNISA.
- Garber, P.R. (2004) *Giving and receiving performance feedback*, Amherst: HRD Press Inc.
- Goddard, W. and Melville, S. (2001) *Research Methodology: An introduction*, Landsdowne: Juta and Co. Ltd.
- Halata, C. (2012) *in Diamond Fields Advertiser*, Agri workers, Union take a stand against corruption: 13 December: 6.
- Harbour, J.L. (1997) *The basics of performance measurement*, Portland: Productivity Press.

- Henderson, R.I. (1984) *Practical guide to performance appraisal*, Virginia: Reston Publishing Company Inc.
- Henderson, R.I. (1987) 'Administration of the performance appraisal program: Computer-aided performance appraisal', in Schneier, C.E., Beatty, R.W. and Baird, L.S. (ed.) *The performance management sourcebook*, Amherst: The Human Resource Development Press.
- Henning, E. (2004) *Finding your way in qualitative research*, Pretoria: Van Schaik Publishers.
- Hilliard, V.G. (1995) *Performance improvement in the public sector*, Pretoria: JL van Schaik Publishers.
- Holzer, M. and Callahan, K. (1998) *Government at work: Best practices and model programs*, California: Sage Publications Inc.
- HRdictionary* (2012), 6 December, [Online], Available: <https://hrdictionaryblog.com/2012/12/06/key-result-areakra-and-key-performance-areakpa/> [18 April 2018].
- Huber, V.L. (1987) 'An analysis of performance appraisal practices in the public sector: A review and recommendations', in Schneier, C.E., Beatty, R.W. and Baird, L.S. (ed.) *The performance management sourcebook*, Amherst: The Human Resource Development Press.
- Hughes, O.E. (2003) *Public management and administration*, New York: Palgrave Macmillan.
- Hunt, N. (2005) *Conducting staff appraisals*, Oxford: How To Books Ltd.
- Iscoe, I. and Smith, A. (2005) 'Swampscott Revisited- a worthwhile journey', *The Community Psychologist*, vol. 38, no. 4, pp. 26-28.
- Jerome, P. (1998) *Evaluating employee performance*, London: Kogan Page Limited.
- Kaniki, A. (1999) 'Doing an information search', in Terre Blance, M. and Durrheim, K. (ed.) *Research in practice: Applied methods for the social sciences*, Cape Town: University of Cape Town Press.

- Kothari, C.R. (2004) *Research methodology: Methods and techniques*, New Delhi: New Age International (P) Limited, Publishers.
- Krauss, S.E. (2005) 'Research Paradigms and Meaning Making: A Primer', *The qualitative report*, vol. 10, no. 4, December, pp. 758-770, Available: <http://www.nova.edu/ssss/QR/QR10-4/krauss.pdf> [29 January 2014].
- Kwon Hoo, S. (2013) *in Diamond Fields Advertiser*, March threatens inauguration: 30 April: 7.
- Levine, M. and Perkins, D. (1997) *Principles of community psychology*, 2nd edition, Oxford: Oxford University Press.
- Liff, S. (2011) *Improving performance of government employees: A manager's guide*, New York: Amacom.
- Lombard, T.A. (2005) *The essence of performance and development management in a post-apartheid public sector with special reference to social work in South Africa*, Bloemfontein: University of the Free State.
- MacLeod, A. (2009) *Paradigms in research or how your worldview shapes your methodology*, 21 April, [Online], Available: <http://mackle.wordpress.com/2009/04/21/paradigms-in-research-or-how-your-worldview-shapes-your-methodology/> [29 January 2014].
- Makamu, N.I. and Mello, D.M. (2014) 'Implementing performance management and development system (PMDS) in the Department of Education', *Journal of Public Administration*, vol. 49, no. 1, March, pp. 104-126.
- Maree, K. (2018) 'Planning a research proposal', in Maree, K. (ed.) *First steps in research*, Pretoria: Van Schaik Publishers.
- Maree, K. and van der Westhuizen, C. (2009) *Head start in designing research proposals in the social science*, Cape Town: Juta and Company Ltd.
- Martin, P.P. (2005) 'The committee on cultural and racial affairs: Reflecting on our past, present, and future', *The Community Psychologist*, vol. 38, no. 4, pp. 9-10.
- Maxwell, J.A. (2005) *Qualitative research design*, Thousand Oaks: SAGE Publications Inc.

- McDermot, F.M. (1987) 'Try brainstorming: A quick route to job analysis', in Schneier, C.E., Beatty, R.W. and Baird, L.S. (ed.) *The performance management sourcebook*, Amherst: Human Resource Development Press.
- McGregor, D.M. (1987) 'An uneasy look at performance appraisal', in Schneier, C.E., Beatty, R.W. and Baird, L.S. (ed.) *The performance management sourcebook*, Amherst: The Human Resource Development Press.
- McGregor, S. and Murnane, J. (2010) 'Paradigm, methodology and method: Intellectual integrity in consumer scholarship', *International journal of consumer studies*, vol. 34, no. 4, pp. 419 - 427.
- McMillan, J.H. and Schumacher, S. (2014) *Research in education: Evidence-based inquiry*, Essex: Pearson Education Limited.
- Merriam, S. (2002) *Qualitative research in practice: examples for discussion and analysis*, 1st edition, San Francisco: Jossey- Bass.
- Mestry, R. and Khumalo, J. (2012) 'Governing bodies and learner discipline: managing rural schools in South Africa through a code of conduct', *South African Journal of Education*, vol. 32, no. 1, January, pp. 97-110.
- Mohube, D.E. (2009) *Perceptions of office - based educators on the appraisal system (unpublished dissertation)*, University of Pretoria: Pretoria.
- Mokoena, M. (2012) in *Diamond Fields Advertiser*, Workers threaten to disrupt exams: 12 October: 5.
- Morgan, C. (1997) 'Selection: predicting effective performance', in Kydd, L., Crawford, M. and Riches, C. (ed.) *Professional development for educational management*, Buckingham: Redwood books.
- Mosoge, M.J. and Pilane, M.W. (2014) 'Performance management: the neglected imperative of accountability systems in education', *South African Journal of Education*, vol. 34, no. 1, pp. 1-17.
- Mouton, J. (1988) 'The philosophy of qualitative research', in Ferreira, M., Mouton, J., Puth, J., Schurink, E. and Schurink, W. *Introduction to qualitative research methods*, Pretoria: Human Sciences Research Council.

Mouton, J. (1996) *Understanding social research*, 1st edition, Pretoria: Van Schaik Publishers.

Naicker, S.R. and Mestry, R. (2011) 'Distributive leadership in public schools : experiences and perceptions of teachers in the Soweto region', *Perspectives in Education*, vol. 29, no. 4, December, pp. 99-108.

Naidoo, A. (2000) *Community psychology: Constructing community, reconstructing psychology in South Africa*, Inaugural lecture: University of Stellenbosch.

Nel, W., Lazarus, S. and Daniels, B. (2010) 'Education support services policy and practice in South Africa: An example of community psychology in action?', *Education as Change*, vol. 14, no. Supplement Number S1, pp. S17 - S24.

Olson, R.F. (1981) *Performance appraisal: A guide to greater productivity*, United States of America: John Wiley and Sons, Inc.

Osborne, D. and Gaebler, T. (1993) *Reinventing government. How the entrepreneurial spirit is transforming the public sector*, New York: Penguin Books.

Owen, G.T. (2014) 'Qualitative methods in higher education policy analysis: Using interviews and document analysis', *The Qualitative Report*, vol. 19, no. 26, June, pp. 1-19.

Oxford reference, [Online], Available:

<http://www.oxfordreference.com/view/10.1093/oi/authority.20110803100515279>

[13 September 2018].

Perkins, D. (2011) *An introduction to community psychology*, 12 September, [Online], Available: <https://my.vanderbilt.edu/perkins/category/news/> [11 May 2016].

Prior, L.F. (2008) 'Document analysis', in Given, L.M. (ed.) *The Sage encyclopedia of qualitative research methods*, Los Angeles: SAGE.

Reich, S.M., Riemer, M., Prilleltensky, I. and Montero, M. (ed.) (2007) 'Conclusion: History and theories of community psychology around the globe', in Reich, S.M., Riemer, M., Prilleltensky, I. and Montero, M. *International community psychology: History and theories*, California: Springer.

Research methodology, [Online], Available: <http://research-methodology.net/research-philosophy/interpretivism> [21 April 2018].

Riches, C. (1988) 'Managing for people and performance', in Bush, T. and Middlewood, D. (ed.) *Managing people in education*, London: Paul Chapman Publishing Ltd.

Rickel, A.U. (1987) 'The 1956 Swampscott conference and future topics for community psychology', *American journal for community psychology*, vol. 15, no. 5, pp. 511-512.

RSA DBE (Republic of South Africa, Department of Basic Education) (2016) *Personnel Administration Measures*, Pretoria: Government printer.

RSA DoL (Republic of South Africa, Department of Labour) (1995) *Labour Relations Act No. 66 of 1995*, Pretoria: Government printer.

RSA DPSA (Republic of South Africa, Department of Public Service and Administration) (1994) *Public Service Act*, Pretoria.

RSA DPSA (Republic of South Africa, Department of Public Service and Administration) (2007) *Employee performance management and development system*, Pretoria: DPSA.

RSA ELRC (Republic of South Africa, Education Labour Relations Council) (2002) *Collective agreement number 3 of 2002: Performance management and development scheme for office based educators*, Pretoria: ELRC.

RSA ELRC (Republic of South Africa, Education Labour Relations Council) (2017) *Collective agreement no. 3 of 2017 (Education management service (EMS): Performance management and development system (PMDS) for office-based educators)*, Pretoria: ELRC.

RSA NCDoe (Republic of South Africa, Northern Cape Department of Education) (2017) *Annual performance plan 2017/18*, Kimberley.

RSA NCDoe (Republic of South Africa, Northern Cape Department of Education) (2017) *Northern Cape Department of Education Annual report 2016/17*, Kimberley.

RSA NT (Republic of South Africa, National Treasury) (2007) *Framework for managing programme performance information*, Pretoria: National Treasury.

RSA NT (Republic of South Africa, National Treasury) (2010) *Framework for strategic plans and annual performance plans*, Pretoria: National Treasury.

RSA NT (Republic of South Africa, National Treasury) (2011) *Performance Information Handbook*, Pretoria: National Treasury.

RSA PSC (Republic of South Africa, The Public Service Commission) (2007) *Report on the audit into the granting of performance rewards in the Departments of Education and Social Development at both the national and provincial levels*, Pretoria: The Public Service Commission.

RSA PSC (Republic of South Africa, The Public Service Commission) (2008) *A report on strategic issues emanating from the evaluation of heads of department*, Pretoria: The Public Service Commission.

RSA The Presidency (Republic of South Africa, The Presidency) (1998) *Employment of Educators Act no. 76 of 1998*, Pretoria: Government printer.

RSA The Presidency (Republic of South Africa, The Presidency) (2007) *Policy framework for the government - wide monitoring and evaluation system*, Pretoria: Shereno Printers.

RSA, NCPA (Republic of South Africa, Northern Cape Provincial Administration) (2016) *Policy on employee performance management and development system (EPMDS)*, Kimberley.

RSA, NCPA (Republic of South Africa, Northern Cape Provincial Administration) (2018) *Policy on employee performance management and development system (EPMDS)*, Kimberley.

Schnake, M.E. (1987) 'Apples and oranges: Salary review and performance review', in Schneier, C.E., Beatty, R.W. and Baird, L.S. (ed.) *The performance management sourcebook*, Amherst: Human Resource Development Press.

Schneier, C.E., Beatty, R.W. and Baird, L.S. (1987) *The performance management sourcebook*, Amherst: Human Resource Development Press Inc.

Sefoto, M.M. and Du Plessis, A.H. (2018) 'Paradigms, theoretical frameworks and conceptual frameworks in educational research', in Sefoto, M.M. (ed.) *Philosophy in education and research*, Pretoria: Van Schaik Publishers.

Simons, A. (2009) *Perceptions and attitudes towards the performance and development management system: A nursing perspective (Unpublished dissertation)*, University of the Free State: Bloemfontein.

Smith, H.P. and Brouwer, P.J. (1977) *Performance appraisal and human development: A practical guide to effective managing*, United States of America.

Terre Blanche, M. and Durrheim, K. (1999) 'Histories of the present: social science research in context', in Terre Blanche, M. and Durrheim, K. (ed.) *Research in practice*, 1st edition, Cape Town: University of Cape Town Press.

Terre Blanche, M., Durrheim, K. and Painter, D. (ed.) (2006) 'Histories of the present: social science research in context', in Terre Blanche, M. and Durrheim, K. *Research in practice: Applied methods for the social sciences*, Cape town: UCT Press.

Terre Blanche, M. and Kelly, K. (1999) 'Interpretive methods', in Terre Blanche, M. and Durrheim, K. (ed.) *Research in practice*, 1st edition, Cape Town: University of Cape Town Press.

Tlhogo, M.J. (2009) *The evaluation of performance development management system for the Free State Department of Health (unpublished dissertation)*, University of the Free State: Bloemfontein.

van Wyk, A., vander Westhuizen, P.C. and van Vuuren, H. (2014) 'Resistance to change in schools: perceptions of principals and teachers in a South African province', *Problems and Perspectives in Management*, vol. 12, no. 4, pp. 457-465.

Watts, R.J. and Serrano-Garcia, I. (2003) 'The quest for a liberating community psychology: An overview', *American journal of psychology*, vol. 31, no. 1, March, pp. 73-78.

Welman, C., Kruger, F. and Mitchell, B. (2005) *Research methodology*, 3rd edition, Cape Town: Oxford University Press.

Whitehead, T.L. (2002) 'Community based interventions, definitions and types', *Cultural ecology of health and change*, 9 September, pp. 2-9.

Williams, R.S. (2002) *Managing employee performance: Design and implementation in organizations*, London: Thomson Learning.

Willis, J.W. (2007) *Foundations of qualitative research: interpretive and critical approaches*, Thousand Oaks: Sage Publications Inc.

Zondo, R.W.D. (2018) 'The influence of a 360-degree performance appraisal on labour productivity in an automotive manufacturing organisation', *South African Journal of Economic and Management Sciences*, vol. 21, no. 1, pp. 1-7.

ANNEXURES

ANNEXURE A. ETHICAL CLEARANCE



Faculty of Education
Ethics Office

Room 12
Winkie Direko Building
Faculty of Education
University of the Free State
P.O. Box 339
Bloemfontein 9300
South Africa

T: +27(0)51 401 9922
F: +27(0)51 401 2010

www.ufs.ac.za
BarclayA@ufs.ac.za

21 May 2013

ETHICAL CLEARANCE APPLICATION:

PERFORMANCE AND DEVELOPMENT MANAGEMENT OF PROVINCIAL OFFICE-BASED EDUCATORS: A SUGGESTED MODEL

Dear Mr W Herman

With reference to your application for ethical clearance with the Faculty of Education, I am pleased to inform you on behalf of the Ethics Board of the faculty that you have been granted ethical clearance for your research with the following stipulation:

- More detail should be provided on exactly how Appreciative Inquiry will be used. The provided pro-forma questionnaire does not adhere to an AI formula – does the researcher understand what AI is and how it is used?
- The method of recruitment may result in a pool of participants who are all extremely unhappy with the current system. It may be an idea to consider involving others who have a positive view, in order to get a balanced picture – particularly if the researcher is trying to identify best practice through AI.
- There may be some power relationships in play here – is the researcher an employee here? Is he perhaps regarded as an authority figure by participants? If so, how can he guarantee that he will get honest feedback from participants?
- Judging by the consent sheet, participants will be de-identified and assigned a number – but this should be stated in the application itself. Arrangements appear to have been made for informed consent, but this is answered in the negative in the application.

Your ethical clearance number, to be used in all correspondence, is:

UFS-EDU-2013-016

This ethical clearance number is valid for research conducted for one year from issuance. Should you require more time to complete this research, please apply for an extension in writing.

We request that any changes that may take place during the course of your research project be submitted in writing to the ethics office to ensure we are kept up to date with your progress and any ethical implications that may arise. At the conclusion of your research project, please submit a project report stating how the research progressed and confirming any changes to methodology or practice that arose during the project itself. This report should be under 500 words long and should contain only a brief summary focusing primarily on ethical considerations, issues that may have arisen and steps taken to deal with them during the course of the research.

Thank you for submitting this proposal for ethical clearance and we wish you every success with your research.

Yours sincerely,



A handwritten signature in black ink, appearing to read 'A. Barclay', with a small dot at the end.

Andrew Barclay
Faculty Ethics Officer

ANNEXURE B. PROOF OF LANGUAGE EDITING



Dr. J. Sibanda (Senior Lecturer: English)
School of Education
Private Bag X 5008, Kimberley, 8300
North Campus, Chapel Street, Kimberley
E-mail: Jabulani.Sibanda@spu.ac.za
jsibanda@gmail.com
Website: www.spu.ac.za
Tel: 27534910142
Cell: 0845282087
30 December 2018

TO WHOM IT MAY CONCERN

I hereby confirm that I have proof read and edited the following PhD Thesis, using Windows 'Tracking' System to reflect my comments and suggested corrections for the author(s) to action:

- **Author Name:** Walter Terence Herman
- **Title:** A Performance Management Approach for Provincial Office-Based Educators
- **Date:** 30 December 2018

Although the greatest care was taken in the editing of this document, the final responsibility for the product rests with the author.

Sincerely



30.12.2018

SIGNATURE

DATE

ANNEXURE C. TURNITIN REPORT

Turnitin Originality Report											
Processed on: 24-Nov-2018 07:05 SAST ID: 1043865119 Word Count: 47965 Submitted: 1	<table border="1"> <thead> <tr> <th colspan="2">Similarity by Source</th> </tr> </thead> <tbody> <tr> <td>Similarity Index</td> <td>8%</td> </tr> <tr> <td>Internet Sources:</td> <td>7%</td> </tr> <tr> <td>Publications:</td> <td>1%</td> </tr> <tr> <td>Student Papers:</td> <td>2%</td> </tr> </tbody> </table>	Similarity by Source		Similarity Index	8%	Internet Sources:	7%	Publications:	1%	Student Papers:	2%
Similarity by Source											
Similarity Index	8%										
Internet Sources:	7%										
Publications:	1%										
Student Papers:	2%										
A performance management approach for provincial office-based educators By Student 1 Herman											
1% match (Internet from 31-Aug-2016)	http://docslide.us/documents/epmde-april-2007-v6-2-2amended-final.html										
1% match (student papers from 22-Jul-2015)	Submitted to Roumnamouth University on 2015-07-22										
1% match (student papers from 12-Apr-2018)	Submitted to University of Stellenbosch, South Africa on 2018-04-12										
< 1% match (Internet from 24-May-2016)	http://dspace.sfr.ac.uk/bitstream/1893/7269/1/Bahari%20%781999%79%20-%20Investigations%20into%20the%20Quality%20of%20Public%20Services%20in%20Malaysia.pdf										
< 1% match (Internet from 12-Oct-2010)	http://webcache.googleusercontent.com/search?q=cache:NnMlnBrltPcJ:web.uct.ac.za/depts/politics/d										
< 1% match (Internet from 22-Nov-2012)	http://www.naposa.org.za/downloads/EMS_O_PA_Aug_web.pdf										
< 1% match (student papers from 03-Dec-2013)	Submitted to Mankosa on 2013-12-03										
< 1% match (Internet from 16-Oct-2013)	http://www.dpsa.gov.za/dpsa2g/documents/rn/2012/18_1_p_3_11_2012.pdf										
< 1% match (publications)	John Kempton, "Chapter 8 Performance Management", Springer Nature, 1995										
< 1% match (Internet from 21-May-2013)	http://www.malotswal.gov.za/index.php/documents/doc_view/201-glossaryannual-and-mid-year-assessment-report-2012-2013.html?component=forum&raw										
< 1% match (Internet from 04-Nov-2013)	http://www.kznecota.gov.za/Portals/0/Documents/policies/epmde/2010/EPMD%20POLICY%20GTA%20-%201%20APRIL%202007.pdf										
< 1% match (Internet from 01-Jan-2015)	http://allafrica.com/stories/20130110352.html?viewall=1										
< 1% match (Internet from 23-Nov-2017)	https://au.sagepub.com/sites/default/files/upm-binaries/78595_Booth_Taking_a_Systematic_Approach_to_Your_Literature_Review.pdf										
< 1% match (Internet from 17-Mar-2013)	http://www.dpsa.gov.za/dpsa2g/documents/ep/2007/epmde.pdf										
< 1% match (Internet from 01-Oct-2005)	http://www.lhu.mmu.ac.uk/researchmethods/Modules/Selection_of_methodology/index.php										
< 1% match (Internet from 17-Jul-2013)	http://performance-appraisals.org/Bacalsappraisals/articles/articles/is.htm										
< 1% match ()	http://www.pamli.com/99_4_2_Holtzer.html										
< 1% match (Internet from 22-Oct-2014)	http://wjdjgiseace.uj.ac.za/bitstream/handle/10210/3063/Letsalo.pdf?sequenc										
< 1% match (Internet from 07-Aug-2018)	http://research-methodology.net/research-philosophy/interpretivism/										
< 1% match (student papers from 09-Jan-2009)	Submitted to South Bank University on 2009-01-09										
< 1% match ()	http://rd.vahogais.com/_v/c=X3oDMTVndXNlMGVwBPIT6zfwMIMxNTRMDIFYRwqWQDTHIoz8UITYrNEdRVYwVDFRYVHicCsMRYuMHV										
< 1% match (Internet from 24-Jun-2014)	http://ardsf.narl.org.pg/index.php?option=com_phocadownload&view=category&download=1289:guideline-human-talent-management&id=199:human-talent-strategy-wks-reports&Itemid=295										
< 1% match (Internet from 19-Jun-2011)	http://www.highperformancehr.ca/cgi-bin/dada/mail.cgi/archive/hphr/2009122093816/										
< 1% match (Internet from 11-Jun-2014)	http://dspace.nwu.ac.za/bitstream/handle/10394/5084/miambo_xi.pdf?sequen										

ANNEXURE D. CONSENT TO DO RESEARCH AT THE NCDoe



5 Zambesi Street
Rhodesdene
Kimberley
8301

The Head of Department
Northern Cape Department of Education
Barkley Road
Kimberley
8301

Permission to do research at the Head Office of the Northern Cape Education Department

This correspondence seeks to request permission to conduct research at the Northern Cape Education Department head office for the years 2013 – 2014.

I am currently registered for a Ph.D in Education Management at the University of the Free State. My proposed topic of research is “**Performance and development management of provincial office-based educators: a suggested model**”. This topic is closely linked to my current scope of work as a Manager: Policy and Planning at the Northern Cape Department of Sport, Arts and Culture. One of the components under this unit is Monitoring and Evaluation of Departmental performance. In my study, I would like to explore the possibilities of linking Departmental performance with employee performance.

The aim of the study will include:

- to propose an integrated performance management system for office- based educators in the Northern Cape that can be used as a model for performance management in both the public and private sector.

Twelve office- based educators will be approached to participate voluntarily in the research. Each participant will be briefed on the purpose of the study and what will be expected of him/her. One-on-one semi-structured interviews will be conducted with each participant.

There is no risk involved in this study and ethical clearance will be applied for from the University of the Free State. There are no direct benefits to the participant and the researcher. All information and identities of participants will be held confidential. A copy of the consent form is attached.



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessis@ufs.ac.za

205 Nelson Mandela Drive/Ryalaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIBESITHI YA FREISTATA

If you have any further questions you may contact my promotor (Dr Nathan Bagarette) and co-promotor (Dr Willy Nel) at the following contact details:

Dr Bagarette- 051 401 3419
Dr Nel- 051 401 9557

Looking forward to your response.

Yours faithfully




Walter Herman
Cell: 0828760967

Approved

Not Approved

Comment(s):



G. P. PIETERSE

(Signature and name in full)

Head of Department: Northern Cape Education Department



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessis@ufs.ac.za

205 Nelson Mandela Drive/Rylaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIVESITHI YA FREISTATA

ANNEXURE E. CONSENT TO DO INTERVIEWS AT NCDOE



5 Zambesi Street
Rhodesdene
Kimberley
8301
15 April 2018

The Head of Department
Att: Mr G.T. Pharasi
Northern Cape Education Department
Private Bag X
KIMBERLEY
8300

Intension to commence with research interviews

I am currently registered for a Ph.D in Education Management at the University of the Free State. My proposed topic of research is "A performance management approach for provincial office-based educators". This topic is closely linked to my current scope of work as a Manager: Performance Information Management at the Office of the Premier. In my study, I would like to explore the links between Departmental performance with employee performance.

The aim of the study will include:

- to propose an integrated performance management approach for office- based educators in the Northern Cape of which recommendations can be used to inform future public performance management systems.

I was granted permission to conduct interviews at the Northern Cape Education Department by the current HoD. Since my initial application, my topic was slightly modified, but the aim remained the same. This correspondence serves to alert the office of the HoD of my intention to commence with data collection in 2018. Selected participants will be approached to participate voluntarily in the research. Each participant will be briefed on the purpose of the study and what will be expected of him/her. One-on-one semi-structured interviews will be conducted with each participant.



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessis@ufs.ac.za

205 Nelson Mandela Drive/Rylaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIVESITHI YA FREISTATA

There is no risk involved in this study and ethical clearance (UFS-EDU-2013-016) was granted the University of the Free State. There are no direct benefits to the participant and the researcher. All information and identities of participants will be held confidential. A copy of the consent form is attached, as well as proof of my registration.

If you have any further questions you may contact my promotor (Prof Willy Nel), who is an associate with the University of the Free State, at the following contact details:

Cell: 0824114869

Email: nelwilly@gmail.com

Email: William.Nel@mandela.ac.za

Yours faithfully



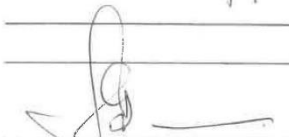
Walter Herman

Cell: 0828760967

Email: wherman@telkomsa.net

Comment:

Approved



Mr G.T. Pharasi

Head of Department: Northern Cape Department of Education



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessise@ufs.ac.za

205 Nelson Mandela Drive/Rylaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YA FREISTATA

ANNEXURE F. CONSENT TO DO INTERVIEWS AT OTP



5 Zambesi Street
Rhodesdene
Kimberley
8301
15 April 2018

The Director-General
Att: Mr J. Bekebeke
Office of the Premier
Northern Cape Provincial Government
Private Bag X5016
KIMBERLEY
8300

Permission to conduct research interviews

This correspondence seeks to request permission to conduct research at the Northern Cape Office of the Premier. I am currently registered for a Ph.D in Education Management at the University of the Free State. My topic of research is "A performance management approach for provincial office-based educators".

The aim of the study will include:

- to propose an integrated performance management approach for office- based educators in the Northern Cape of which recommendations can be used to inform future public performance management systems.

I was granted permission to conduct interviews at the Northern Cape Education Department by the current HoD. My study will overlap with public employee performance management systems and its link with Departmental performance. Departmental performance, in turn, is linked to my current scope of work as a Manager: Performance Information Management at the Office of the Premier. In my study, I would like to explore the links between Departmental performance with employee performance.

As my study evolved, the need to interview selected participants in the Office of the Premier as the provincial oversight department, became necessary in order to present a comprehensive perspective on performance management systems in the public service. Selected participants will be approached to participate voluntarily in the research. Each participant will be briefed on the purpose of the study and what will be expected of him/her. One-on-one semi-structured interviews will be conducted with each participant.

There is no risk involved in this study and ethical clearance (UFS-EDU-2013-016) was granted the University of the Free State. There are no direct benefits to the participant and the researcher. All information and identities of participants will be held confidential. I attach proof of my registration.



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessis@ufa.ac.za

205 Nelson Mandela Drive/Ryiaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIVESITHI YA FREISTATA

Any further questions may be directed to my promotor (Prof Willy Nel), who is an associate with the University of the Free State, at the following contact details:

Cell: 0824114869
Email: nelwilly@gmail.com
Email: William.Nel@mandela.ac.za

Looking forward to your response.

Yours faithfully



Walter Herman
Cell: 0828760967
Email: wherman@telkomsa.net

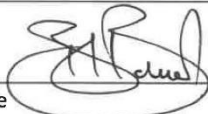
Approved

Not Approved

Comment(s)

if possible, it would be appreciated if you could share with the department the findings of your research.

Signature:



Mr J. Bekebeke
Director-General: Office of the Premier
Northern Cape Province

23/04/2018



Faculty of Education –
School of Education Studies/
Fakulteit Opvoedkunde
Skool vir Opvoedkunde Studie
T: +27(0)51 401 2243
F: +27(0)51 401 3077
E: duplessis@ufs.ac.za

205 Nelson Mandela Drive/Rylaan
Park West / Parkwes
Bloemfontein 9301
South Africa / Suid-Afrika

PO Box / Posbus 339 (25)
Bloemfontein 9300
South Africa / Suid-Afrika
www.ufs.ac.za



UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIVESITHI YA FREISTATA

ANNEXURE G. CONSENT- PARTICIPANT

Consent Form

for participation in qualitative research

Student Name: WT Herman
Student Number: 1990304923
University: University of the Free State
Ethical Clearance: UFS-EDU-2013-016

Research Topic: *A performance management approach for provincial office-based educators.*

Please note:

This Informed Consent Form has two parts:

- A. Information Sheet (to share information about the study with you)
- B. Biographical Details
- C. Certificate of Consent (for signatures if you choose to participate)

You will be given a copy of the full Informed Consent Form

Participant number:

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
---	---	---	---	---	---	---	---	---	----	----	----	----	----	----	----	----	----	----	----

A. INFORMATION SHEET

Title of study:

A performance management approach for provincial office-based educators.

Researcher: Mr Walter Herman

Institute: University of the Free State

Aim of this research study

The aim of the study is to propose an integrated performance management approach for office based educators in the Northern Cape that can be used as a model approach for performance management in the public - and even the private sector.

This research will respond to the following research questions:

Main Question:

What performance management approach can be proposed for office-based educators in a provincial education department?

Secondary Questions:

- How does the current PMDS for office-based educators compare against other practices in performance management?
- What is the current approach to performance management at the NCDoe?
- What are the perceptions of stakeholders (office-based educators, Human Resource officials, Policy and Planning, Labour) regarding performance management?
- How is the achievement of Departmental Strategic Objectives linked to individual employee performance (PMDS)?

Procedures

Participants will be approached to participate voluntarily in the research. Each participant will be briefed on the purpose of the study and what will be expected of him/her.

One-on-one semi- structured interviews will be conducted with each participant. The interviews will thus consist of main questions and follow- up questions on some of the responses. The entire interview will be recorded with an audio recorder to enable the researcher to reliably transcribe the input.

Each interview will last for approximately an hour (minimum) and follow- up interviews may be agreed upon between researcher and participant. Feedback to stakeholders will be negotiated.

Ethical Clearance: UFS-EDU-2013-016

Page 2 of 5

Possible risks or benefits

There is no risk involved in this study. There is no direct benefit to you also as the study uses your participation as a by-product input for the study. However, the results of the study may help us to propose an integrated performance management system for office based educators in the Northern Cape, which may be of benefit to the development of performance management in the public sector. You may refuse to respond to any question that you may deem offensive.

Your employer had already given permission for the study to commence. There are also no financial benefits for the researcher. Ethical clearance was granted by the University of the Free State (UFS-EDU-2013-016).

Confidentiality

All information you supply during the research will be held in confidence to the extent provided by the law and unless you specifically indicate your consent, your name will not appear in any report or publication of the research.

Your information will be assigned a code number. The list connecting your name to this number and this informed consent form will be kept in a secure location.

Right of refusal to participate and withdrawal

You are free to choose to participate in the study. You may refuse to participate or withdraw any time from the study without any prejudice or adverse effect to the grading of your assignment submission.

Available Sources of Information

If you have any further questions you may contact my promotor (Prof Willy Nel) at the following contact details:

Cell: 0824114869

Email: nelwilly@gmail.com

B. Biographical Details

1. What is your current rank? *Eg Manager, CES, Director*

2. What is your current salary/post level (only the number)?

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

4. What performance management system do you resort under?

PMDS

EPMDS

5. Please tick the directorate/ unit that you resort under.

Policy and Planning/ Monitoring and Evaluation

Human Resource Development

Labour Relations

Other (Please specify)

C. CERTIFICATE OF CONSENT

Participant's Consent Declaration

1. I confirm that I have read and understood the above information sheet for the above study, or it has been read to me. I have had the opportunity to consider the information, ask questions and have had these answered satisfactorily.
2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.
3. I understand that any information given by me may be used in future reports, articles or presentations by the researcher/ research team.
4. I understand that my name will not appear in any reports, articles or presentations.
5. I declare that I am at least 18 years of age and agree to take part in the above study.

Print Name of Participant _____

Signature of Participant _____

Date _____

Day/month/year

Statement by the researcher/person taking consent

I have accurately read out the information sheet to the potential participant, and to the best of my ability made sure that the participant understands what is to happen.

I confirm that the participant was given an opportunity to ask questions about the study, and all the questions asked by the participant have been answered correctly and to the best of my ability. I confirm that the individual has not been coerced into giving consent, and the consent has been given freely and voluntarily.

A copy of this Consent form will be provided to the participant.

Print Name of Researcher _____

Signature of Researcher _____

Date _____

Day/month/year

Ethical Clearance: UFS-EDU-2013-016

Page 5 of 5

ANNEXURE H. SEMI-STRUCTURED QUESTIONNAIRE

A. Questions: Aims of the PMDS;

1. ***to improve performance against corporate goals. improve service delivery***

- Did you have a Job Description, Work Plan and Performance Agreement in place before the start of this financial year and to what extent are they linked with each other, your job advert and the Departmental organogram?
- Which Departmental/ organisational objective is linked to your job description, work plan and performance agreement?
- What measures are in place to ensure that Departmental/ organisational objectives are captured in the job descriptions, work plans and performance agreements?
- How does the performance management system you resort under improve performance against corporate goals? Please elaborate.
- What systems does the department have in place (if any) to correlate employee performance with departmental performance?

2. ***to improve the employee's awareness and understanding of their work objectives and what is expected of them. ensure that all jobholders know and understand what is expected of them***

- How does the implementation of a performance management system assist you in your understanding of what is expected of you?
- How does the performance management system at your work, make provision for the appraisal of **all aspects** of your specific job?

3. ***to improve communication between supervisors and their staff. promote interaction on performance between jobholders and their supervisors***

- Would you say that your relationship/ communication with your supervisor or subordinate improved/ deteriorated because of the performance management system?
- What is your view on the following statement: “I rate my performance average to avoid conflict with my supervisor”?
- “Performance management lends itself to subjectivity on the side of the supervisor” What is your comment on this statement?

4. ***to evaluate performance fairly and objectively. evaluate performance fairly and objectively***

- Would you regard your workplaces’ performance management system as a fair and objective system? Elaborate on your answer?
- What systems are in place to ensure that performance scoring is objective? What system of supporting evidence is used to corroborate scoring?
- “Scoring on capabilities lends itself to subjectivity.” What is your view on this statement?
- Explain how your morale/ motivation is affected either positively or negatively by the performance management process.
- Did you ever lodge or know of colleagues that lodged a dispute because of an unfavourable outcome of the performance management process? If yes, please elaborate on the cause without mentioning the names of other parties.
- How effective is the dispute resolution process in your view?

5. ***to provide opportunities to identify individual’s development needs and to devise plans to address those needs. identify, manage and promote jobholders’ development needs***

- How often do you submit Personal Development Plans (PDP)? Do you know if PDPs are linked to the Workplace Skills Plan (WSP) of your employer?

- What training did you receive in the last three years as a result of identified needs as per PDP submitted?

6. ***to facilitate the effective management of unsatisfactory performance.***

Manage categories of performance that are not fully effective and lower

- What constraints are you aware of that prevent the provision of training and development opportunities to officials who need it?
- Should training and development opportunities be limited to underperforming officials? Why?
- Are official/ accredited training programmes the only option for addressing unsatisfactory performance or can you think of other alternatives?

7. ***to provide a basis for decisions on rewards. recognise categories of performance that are fully effective and better***

- What is your view on the following statement “Performance management places too much emphasis on reward as opposed to development”?
- Would you say that your performance management system rewards the deserving officials only or would you say that underserving officials also unduly benefit in the process?
- What is your opinion on monetary incentive/ reward for good performance? Can you recommend alternatives?

8. ***establish a performance and learning culture in the Public Service (EPMDS)***

- How does EPMDS intend to establish a performance and learning culture in the public service?

B. General questions

1. What is your view on the following statement: “Performance management is an administrative and bureaucratic waste of time”?
2. Do the execution of PMDS for subordinates form part of your job description/ key deliverables and would you say it is not necessary to include such?
3. How regular do you give and/or receive feedback on performance appraisals? What is your view of upward feedback?
4. Are the outputs of departmental performance (through the monitoring and evaluation process) taken into consideration when individual appraisals are done? How do the results of Departmental performance compare with individual performance of officials?
5. To what extent have you or your colleagues been consulted/ contributed to the development of your performance management system?
6. How necessary would you rate regular training in performance management for you and/or your colleagues?
7. Are you entirely happy with the performance management system that you resort under? Please elaborate.
8. What are the advantages/ positive aspects of the current performance management system that you can highlight?
9. What recommendations can you propose to improve the current performance management system and the implementation thereof?

C. Questions to HRD and Labour Relations (NCDOE)

1. What are the most common problems (if any) with employee performance management **systems**?
2. What are the most common disputes that arise from the implementation of (E)PMDS? *(This question differs from the previous one)*

Does the Department have moderation committees in place and how effectively do they operate?