

UNIVERSITY OF KWAZULU-NATAL

**Adherence to Performance Management System Framework by the Solid
Waste Management Division within the Umdoni Municipality**

By

Sibusiso Wycliff Mkhize

20001537

**A dissertation submitted in partial fulfilment of the requirements for the
degree of Master of Public Administration**

**College of Law and Management Studies
School of Management, IT and Governance**

Supervisor: Prof. T.I. Nzimakwe

February 2018

DECLARATION

I, **Sibusiso Wycliff Mkhize**, declare that:

- (i) The research reported in this dissertation, except otherwise indicated, is my original work.
- (ii) This dissertation has not been submitted for any degree or examination at any other university.
- (iii) This dissertation does not contain other person's data, pictures, graphs, or other information, unless specifically acknowledged as being sourced from other persons.
- (iv) This dissertation does not contain other person's writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted, then:
 - a. Their words have been re-written, but the general information attributed to them has been referenced.
 - b. Where their exact words have been used, their writing has been placed inside quotation marks and referenced.
- (v) Where I have reproduced a publication of which I am an author, co-author or editor, I have indicated in detail which part of the publication was written by myself alone and have fully referenced such publications.
- (vi) This dissertation does not contain text, graphics or tables copied and pasted from the internet unless specifically acknowledged, and the source being detailed in the dissertation and in the references section.

Signature _____



Date _____

9 - 4 - 2018

ACKNOWLEDGEMENTS

I would like to thank my grandparents Jacob Vela and Mahlatswayo Mkhize; as well as my mother Thandi Mkhize, for being great sources of inspiration in my life.

To my friends: Lerato Thwane, Thabani Dube, Asanda Khumalo and Mzamo Pato, I am truly grateful that I had you by my side during this journey.

To Angela Pearce, the administrator for the Research and Higher Degrees at the School of Management, IT & Governance, I would like to thank you for your efficient and dedicated services.

My sincere thanks and gratitude goes to Professor T.I. Nzimakwe, for the support, patience, guidance and ensuring that I produced the best in my work. I will forever be grateful to you, Chenge.

Lastly and most importantly, I would like to thank God the Almighty, for allowing me the opportunity to do this study.

DEDICATION

This dissertation is dedicated to my late uncle Bhekani Mkhize, who passed on so young, leaving all of us in the family with fond memories, a gentle soul who taught me to have trust in myself, believe in hard work and that so much could be done with the little that one can have.

ABSTRACT

Municipalities are obliged by the Constitution to provide services in an efficient, effective and accountable manner. However, Local Government in South Africa has been characterised by inefficiency and marred by public service delivery protests. This study argues that Performance Management System (PMS) is one practice of management which significantly improves service delivery in public organisations. The study explored the origin and evolution of management and the models of Public Administration. It is guided by four theories namely: the Scientific Management Theory, Systems Theory, Institutional Theory and the Rational Choice theory. The concept of Adherence was critical to the study, thus the researcher constructed the Adherence Model, illustrating the activities and organisational practices which lead to adherence. The main aim of the study was to assess the adherence of PMS at the Solid Waste Management Division at Umdoni Municipality. This was achieved by examining the perceptions of the management and operational staff of the Solid Waste Management Division at Umdoni Municipality. In order to achieve the objectives of the study, a questionnaire was employed to determine the degree of adherence of PMS by assessing the extent to which the Umdoni Municipality applied the principles of PMS. Rooted from the quantitative research design, closed-ended survey questionnaires were distributed to 115 participants. The results of the study indicated that there was a lack of comprehensiveness in the implementation of the PMS principles in the Umdoni Municipality. The findings also showed that the adherence of PMS was appropriately practised by the middle and top management staff, while the PMS principles were inconsistently imposed on the lower hierarchical staff, such as the Umdoni Solid Waste Management Division Staff.

Key words: performance management system; solid waste management: Umdoni Local Municipality

LIST OF ABBREVIATIONS

CFO	Chief Financial Officer
COGTA	Cooperative Governance and Traditional Affairs
DLGH	Department of Local Government and Housing
HOD	Head of Department
HSRC	Human Science Research Council
IDP	Integrated Development Plan
OPMS	Organisational Performance Management System
OPM	Organisational Performance Management
PMS	Performance Management System
SALGA	South African Local Government Association
SMART	Specific Measurable Achievable Relevant Time Bound
SDBIP	Service Delivery and Budget Implementation Plan
MFMA	Municipal Finance Management Act
MM	Municipal Manager
MSA	Municipal Systems Act
KPI	Key Performance Indicator
ULM	Umdoni Local Municipality
USA	United States of America
NPA	New Public Administration
SPSS	Statistical Package for Social Sciences
SWMD	Solid Waste Management Division

LIST OF FIGURES

Figure 2.1	Adherence Model – Features of organisations which result in adherence	33
Figure 3.1	The Performance Management Cycle	41
Figure 5.1	Gender of Participants	64
Figure 5.2	Participants' level of education	65
Figure 5.3	Participants' experience	66
Figure 5.4	Alignment of performance management system to vision	67
Figure 5.5	Alignment of municipal targets to organisational goal	68
Figure 5.6	Performance targets are informed by integrated development plan	69
Figure 5.7	Reaching targets forms part of Umdoni culture	70
Figure 5.8	Continuous training and development is the norm at Umdoni Municipality	70
Figure 5.9	Performance evaluation versus reflection of specific job functions	72
Figure 5.10	PMS and employee expected outcomes	73
Figure 5.11	The PMS distinguishes between effective and ineffective staff	74
Figure 5.12	Communication regarding performance is effective	75
Figure 5.13	Employee performance is frequently evaluated	76
Figure 5.14	Employees versus unjust performance evaluation outcome	76
Figure 5.15	Supervisor's measurement of performance targets	77
Figure 5.16	Performance management and improved performance	79
Figure 5.17	PMS derives benefits for Umdoni Municipality	80

Figure 5.18	PMS addresses staff morale at Umdoni Municipality	81
Figure 5.19	Umdoni Municipality's success versus proper implementation of PMS	82
Figure 5.20	Provision of feedback by supervisors	83
Figure 5.21	The PMS is a consistent process	84
Figure 5.22	Reliability of the information communicated in the performance management review	85
Figure 5.23	Communication during performance appraisal meeting	86
Figure 5.24	Everyone understands how PMS works	87
Figure 5.25	Management is doing enough to solve problems facing PMS implementation	88
Figure 5.26	Political leadership supports PMS	88

LIST OF TABLES

Table 4.1	A comparative summary of various types of sampling	56
Table 4.2	Representation of the scale code	60
Table 4.3	Scale codes description	60

Table of Contents

DECLARATION	Error! Bookmark not defined.
ACKNOWLEDGEMENTS	ii
DEDICATION	iii
ABSTRACT	iv
LIST OF ABBREVIATIONS	v
LIST OF FIGURES	vi
LIST OF TABLES	viii
CHAPTER ONE	1
1.1 INTRODUCTION	1
1.2 BACKGROUND TO THE STUDY	2
1.3 MOTIVATION FOR THE STUDY	4
1.4 PROBLEM STATEMENT	7
1.5 AIM OF THE STUDY	8
1.6 OBJECTIVES OF THE STUDY	8
1.7 RESEARCH QUESTIONS	9
1.8 SIGNIFICANCE OF THE STUDY	9
1.9 BRIEF EMPIRICAL REVIEW	10
1.10 A BRIEF METHODOLOGY FOR THE STUDY	14
1.11 DEFINITION OF KEY CONCEPTS	14
1.12 STRUCTURE OF THE DISSERTATION	16
1.13 CONCLUSION	17
CHAPTER TWO	19
2 THE ORIGIN AND EVOLUTION OF MANAGEMENT AND THE EMERGENCE OF PERFORMANCE MANAGEMENT SYSTEMS	19
2.1 INTRODUCTION	19
2.2 THE ORIGIN OF MANAGEMENT	19
2.3 THE EVOLUTION OF MANAGEMENT	19

2.4	THE EMERGENCE OF PERFORMANCE MANAGEMENT SYSTEM.....	21
2.5	DEFINING PERFORMANCE MANAGEMENT SYSTEMS.....	24
2.6	MODELS OF PUBLIC ADMINISTRATION: THE TRADITIONAL MODELS VERSUS THE NEW PUBLIC ADMINISTRATION MODELS.....	25
2.7	TRADITIONAL MODEL OF PUBLIC ADMINISTRATION.....	26
2.8	THE NEW PUBLIC ADMINISTRATION MODEL.....	27
2.9	THEORIES GUIDING THE STUDY.....	29
2.9.1	Scientific Management Theory.....	29
2.9.2	Systems Theory of Management.....	30
2.9.3	The Institutional Theory.....	30
2.9.4	The Rational Choice Theory.....	31
2.10	THE CONCEPT OF ADHERENCE.....	32
2.11	CONCLUSION.....	34
CHAPTER THREE.....		35
3	PERFORMANCE MANAGEMENT SYSTEMS IN SOUTH AFRICA: LEGISLATIVE FRAMEWORK AND THE CASE OF THE UMDONI MUNICIPALITY.....	35
3.1	INTRODUCTION.....	35
3.2	LOCATING PERFORMANCE MANAGEMENT SYSTEM WITHIN THE SOUTH AFRICAN LEGISLATIVE FRAMEWORK.....	35
3.2.1	The Constitution of the Republic of South Africa (Act 106 of 1996).....	36
3.2.2	The Local Government: Municipal Structures Act (117 of 1998).....	36
3.2.3	The Local Government: Municipal Systems Act (32 of 2000).....	37
3.2.4	Municipal Planning and Performance Management Regulations of 2001.....	38
3.2.5	The Local Government: Municipal Finance Management Act (56 of 2003).....	38
3.2.6	The Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006.....	39
3.3	PERFORMANCE MANAGEMENT CYCLE AND THE PERFORMANCE MANAGEMENT SYSTEM ELEMENTS.....	39
3.3.1	Stage One: performance planning.....	41

3.3.2	Stage Two: performance measuring and monitoring	42
3.3.3	Stage Three: performance evaluation	43
3.3.4	Stage Four: performance reporting	44
3.3.5	Stage Five: performance auditing and review	45
3.4	PERFORMANCE MANAGEMENT SYSTEM IN LOCAL GOVERNMENT: SERVICE DELIVERY	46
3.5	LINKING INTEGRATED DEVELOPMENT PLANNING, THE BUDGET AND PERFORMANCE MANAGEMENT SYSTEM.....	47
3.6	THE PERFORMANCE MANAGEMENT SYSTEM OF UMDONI MUNICIPALITY	49
3.7	CONCLUSION.....	51
CHAPTER FOUR		52
4	RESEARCH METHODOLOGY AND DESIGN	52
4.1	INTRODUCTION.....	52
4.2	RESEARCH DESIGN	52
4.3	RESEARCH APPROACHES.....	53
4.4	RESEARCH PHILOSOPHY.....	54
4.5	TARGET POPULATION AND SAMPLING STRATEGIES	54
4.6	DATA COLLECTION METHODS.....	57
4.6.1	Questionnaire	57
4.6.2	Interviews.....	57
4.6.3	Observation.....	57
4.7	QUESTIONNAIRE CONSTRUCTION	58
4.8	DATA QUALITY CONTROL.....	60
4.9	PILOT STUDY.....	61
4.10	DATA ANALYSIS	61
4.11	ETHICAL CONSIDERATIONS	62
4.12	CONCLUSION.....	62
CHAPTER FIVE		63
5	PRESENTATION AND ANALYSIS OF FINDINGS	63

5.1	INTRODUCTION	63
5.2	RESPONSE RATE	63
5.3	BIOGRAPHICAL SUMMARY.....	64
5.3.1	Gender	64
5.3.2	Level of education.....	64
5.3.3	Work experience.....	65
5.4	FINDINGS BASED ON OBJECTIVE ONE: ALIGNMENT OF THE PMS OF THE UMDONI MUNICIPALITY WITH THE ORGANISATIONAL STRATEGY.....	66
5.4.1	The municipality has a performance management system, which is guided by its vision	66
5.4.2	Targets of Umdoni municipality are aligned with the municipal organisational goals	67
5.4.3	Performance targets are informed by the integrated development plan and the service delivery, as well as the budget implementation plan of the municipality	68
5.4.4	Does reaching targets form part of Umdoni culture?.....	69
5.4.5	Continuous training and development is a norm at Umdoni municipality.....	70
5.5	FINDINGS BASED ON OBJECTIVE TWO: TO ASSESS THE EXTENT TO WHICH PMS PRINCIPLES ARE BEING APPLIED AT UMDONI MUNICIPALITY	72
5.5.1	Performance is evaluated in an appropriate way, reflecting the specific functions on the job	72
5.5.2	The PMS provides detailed guidance to employees on what is expected of them	73
5.5.3	The PMS evaluation system distinguishes between effective and ineffective staff.....	74
5.5.4	Communications regarding performance are effective.....	75
5.5.5	Employee performance is frequently evaluated	76
5.5.6	Employees can go through an appeals process to challenge an unjust performance evaluation outcome	77
5.5.7	Supervisors find it easy to measure if performance targets have been reached or not	78
5.6	FINDINGS BASED ON OBJECTIVE THREE: TO EVALUATE THE PERSONAL OPINIONS OF EMPLOYEES REGARDING THE BENEFITS OF THE USE OF PMS AT THE UMDONI MUNICIPALITY	79
5.6.1	Performance management contributes to improved performance	79

5.6.2	PMS derives benefits for Umdoni Municipality	80
5.6.3	PMS addresses staff morale at Umdoni Municipality.....	81
5.6.4	Umdoni Municipality excels because of the proper implementation of PMS.....	81
5.7	FINDINGS BASED ON OBJECTIVE FOUR: TO DETERMINE THE FACTORS HINDERING THE EFFECTIVE APPLICATION OF PMS AT THE UMDONI MUNICIPALITY	82
5.7.1	Supervisors often provide individual feedback on employee performance.....	83
5.7.3	The information communicated in the performance management review is reliable	84
5.7.4	The performance appraisal meeting is a two-way communication process	85
5.7.5	Everyone understands how PMS works.....	86
5.7.6	Management is doing enough to solve problems facing the PMS implementation	87
5.7.7	Political leadership supports PMS.....	88
5.8	CONCLUSION.....	88
CHAPTER SIX.....		90
6	GENERAL CONCLUSIONS AND RECOMMENDATIONS	90
6.1	INTRODUCTION.....	90
6.2	SUMMARY OF THE STUDY.....	90
6.3	FINDINGS, CONCLUSION AND RECOMMENDATIONS	92
6.3.1	Alignment of PMS to the organisational strategy.....	92
6.3.2	Application of PMS principles at the Umdoni Municipality	92
6.3.3	Personal opinions of employees regarding the benefits of PMS at the Umdoni Municipality	93
6.3.4	Factors hindering the effective implementation of PMS at the Umdoni Municipality	94
6.4	SCOPE FOR FURTHER RESEARCH	95
6.5	CONCLUSION.....	95
REFERENCES.....		97
APPENDIX 1: ETHICAL CLEARANCE LETTER.....		124
APPENDIX 2: GATEKEEPER’S LETTER.....		125
APPENDIX 3: CONSENT FORM		126

APPENDIX 4: QUESTIONNAIRE128

APPENDIX 5: TURNITIN REPORT **Error! Bookmark not defined.**

CHAPTER ONE

1 INTRODUCTION AND OVERVIEW OF THE STUDY

1.1 INTRODUCTION

Performance management is an important practice for both private and public organisations. In the public sector, the deliberation on the performance of municipalities is a norm, as they are accountable to citizens. Municipalities have a key mandate to provide services to the respective communities that they serve, which comprise several constituencies. In South Africa, the National Department of Co-operative Governance and Traditional Affairs developed a performance management framework, which all municipalities across the country are legally obliged to affirm. Several studies have been conducted on the performance management in community, corporate, technical, financial, as well as and planning and development services of municipalities. But few studies have been conducted on the performance management in the solid and waste management services of a municipality. The reason for the need for a study on the performance management of waste management services is that poor performance may lead to dire consequences such as social and health hazards for communities. The purpose of this study is therefore to assess the adherence to Performance Management System (PMS) by Umdoni Municipality's Solid Waste Management Division, to ensure that the division delivers its services effectively and efficiently to communities.

In this view, this chapter discusses the introduction of the study, it provides the background of the study, an illustration of the problem statement, the objectives of the study, research questions and the aims of the study. In addition, the chapter provides the significance of the study, a brief methodology and the structural layout of the study.

1.2 BACKGROUND TO THE STUDY

The need to increase profit margins and to satisfy the customer or the citizen by both public and private organisations has led organisations to develop a scientific method to monitor, review and assess organisational performance, with the aim of increasing productivity (Boyle, 2006; Curristine, Lonti & Joumard, 2007; Nchukwe & Adejuwon, 2014). This scientific method is referred to as the Performance Management System (PMS). A PMS is a process of communicating employee performance expectations, maintaining an on-going performance dialogue and conducting annual performance appraisals (Moore, 1985; Armstrong, 1995; Curtis, 1999; Amos *et al.*, 2008). Since the onset of the democratic dispensation of South Africa in 1994, there have been numerous concerns pertaining to the performance of the public sector employees, especially those working for municipalities. The efficient provision of service delivery and unsatisfactory employee performance in municipalities has been a challenge (Alexander & Kane-Berman, 2014).

According to the South African Local Government Association (SALGA) Annual Report (2013), South African citizens have a negative perception of the performance by municipal employees in the workplace, due to the dire decline of efficient public service delivery in South Africa (SALGA, 2013). Similar concerns were raised by the Human Sciences Research Council of South Africa's (HSRC) Report (2009), which pointed out that the performance of municipal employees in South Africa was unsatisfactory. The HSRC Report (2009) further gave evidence of the unsatisfactory employee performance being displayed. Among the evidence were facts which stated that most employees were not meeting deadlines: which led to incomplete work, high levels of absenteeism, poor workmanship, poor service delivery, numerous complaints by residents, poor customer service, delays in implementing policies and programmes; and failure to comply with regulations and policies. This often led to several public protests. The South African government responded to the several issues stated above by institutionalising the concept of Performance Management Systems (PMS) in all three spheres of government which include the local, provincial and national government (Simeon & Murray, 2001).

The aim of institutionalising PMS in local government is to swiftly achieve the Integrated Development Plan (IDP) goals and objectives of municipalities. The achievement of the IDP goals and objectives require a coherent process which ensures increased productivity (Munzhedzi, 2011). Thus, it was against the background of poor employee performance that a PMS was adopted by municipalities to ensure productive human resource assets in the workplace, which also results in quality service delivery, as provided for under Section 152 of the Constitution of the Republic of South Africa (1996).

It is important to note that there were several pieces of legislation which were promulgated to reinforce and institutionalise PMS in the organisations of the state. Chief amongst such legislation is the Local Government: Municipal Systems Act of 2000, which mandates municipalities to establish a PMS and the Local Government: Municipal Finance Management Act (MFMA) of 2003 which requires IDPs of municipalities to be aligned with their budgets and to be monitored for budget and service delivery performance through the Service Delivery and the Budget Implementation Plan (SDBIP).

The SDBIP details the implementation of service delivery and the budget for the financial year in compliance with the MFMA. It serves as a contract between all the stakeholders of a municipality: the officials of a municipality and the community representatives in the specific municipal area, where all the service delivery objectives of a municipality are agreed upon in a manner that makes them measurable and attainable within the financial year.

Furthermore, Regulation 7(1) of the Local Government: Municipal Planning and Performance Management Regulations (2001:11) provides that a municipality's PMS necessitates a framework that explains and characterise how its performance cycle operates. A performance cycle explains that a performance planning, monitoring, measurement, review, reporting and improvement of performances will be conducted. This performance cycle is an explicit informative process as it explains the organisation of actions, the activities of the management involved and it includes the determination of the roles of each individual involved in achieving the municipal goals. In addition, the Performance Management Guide for Municipalities formulated by the

National Department of Provincial and Local Government in the year 2001 mandates South African municipalities to develop key frameworks for performance management and evaluation of its managerial and non-managerial staff. However, despite the South African government having gazetted various Acts and policies to make PMS an integral part of the management framework in municipalities, governance and adherence to PMS remains a huge challenge. As pointed out by Alexander and Kane-Berman (2014), municipalities face challenges on the implementation and adherence to PMS. This challenge in implementing PMS derails the several efforts and activities put in place to address employee inefficiency in municipalities.

In addition, the 80/20 Report on Local Government in South Africa (2014) noted that despite having PMS in existence, most municipalities in South Africa, inclusive of Umdoni Municipality, have not successfully implemented a PMS. The report discloses that some municipal managers have not signed performance contracts, whilst other managers continue to have their performance contracts unevaluated at the end of each performance period (80/20 Report on Local Government in South Africa, 2014). The former and the latter are a complete disregard of the existing pieces of legislation governing the management of performance in municipalities in South Africa.

This study is an enquiry on the local sphere of government, the Umdoni Municipality. The study assesses the extent to which the Umdoni Municipality Solid Waste Management Division adheres to the municipality's PMS Framework. The assessment is two-pronged, focusing on adherence at division level and secondly, on individual employee level. The study thus aims to determine the levels of adherence to PMS at all levels of the Umdoni Municipality's organisational hierarchy. Below is a general overview of PMS and the rationale for conducting this study.

1.3 MOTIVATION FOR THE STUDY

Performance management is increasingly becoming a popular area of study in South Africa and other parts of the world (World Bank, 2005; Matshiqi, 2007; Public Service Commission of South Africa, 2007). In South Africa, local government has shown a commitment to efficient service delivery and it is evident through the incorporation of performance management in the Constitution. For example, the action to nurture

effective and quality service delivery, as well as ensuring employee productivity within municipalities, are provided for under Section 152 of the Constitution of 1996.

The South African government is organised into the “National, Provincial and Local Government spheres, respectively. These three spheres are distinctive, interdependent, interrelated and autonomous” (South Africa Yearbook, 2013/14: 202). The South African Constitution asserts that local government is the epicentre of development in South Africa, as it is the sphere closest to local communities (RSA Constitution, 1996). This means that local government is responsible and is regarded to be the most capable sphere of government for the provision of basic services to citizens, such as water, housing, sanitation, roads, recreational facilities, environmental management, among other things. In addition, through legislation, the local government is obliged to advocate and seek to meaningfully mimic good governance in each geographical jurisdiction, with democracy and accountability being the fundamental features of the governance model. In South Africa, there are currently 257 municipalities comprising 8 Metropolitan, 44 District and 205 Local municipalities (Government of South Africa, 2015).

The Performance Management Guide for Municipalities, formulated by the Department of Provincial and Local Government in year 2001, obliges South African municipalities to develop key frameworks for performance management and the evaluation for its managerial and non-managerial staff. Therefore, this means that every municipality in South Africa must have a PMS in place.

This study, therefore, investigates the adherence to PMS by Umdoni Municipality. Umdoni is a municipality in the KwaZulu-Natal Province. Specifically, it is situated within the Ugu District Municipality and is approximately 50km from Durban and 65km from Port Shepstone. Its coastline stretches 40km along the Indian Ocean. It has an Organisational Performance Management System (OPMS) which applies to all the staff employed within its five Municipal Departments, namely Community Services, Corporate Services, Technical Services, Financial Services and Planning and Development Services (Umdoni Municipality PMS Framework, 2015). Within its Community Services Department lies the Solid Waste Management Division, which at the time of conceptualising this study, had not yet successfully implemented the PMS,

a development believed to be a contributory factor to the current slow progress in refuse collection.

The Solid Waste Management Division consists of refuse collection, waste disposal, street cleaning and recycling. The Division's functions comprise solid waste management, clearing of illegal dumpsites on public spaces, erection of no dumping signboards; placement of metal drums at taxi ranks, schools, beaches and various public areas; cleansing of ablutions, distribution of wheelie bins, the delivery of recycling bags, street sweeping and cleansing; and waste management awareness (Umdoni Municipality Annual Report, 2012–2013).

The Solid Waste Management Division was chosen as a key source of inquiry for the study, due to its critical contribution to the health and livelihood of the Umdoni community. The provision of solid waste management is a service whose non-delivery would result in community environmental ramifications, affecting citizens' health, the degradation of natural features like rivers, water bodies and other features of the ecosystem in Umdoni. In addition, its non-delivery would lead to the devaluation of the municipality's image and impede the pursuit of national health, tourism and social development goals. However, given the Municipal Planning and Performance Management Regulations, this suggests that the managers, staff and other role players working within the Solid Waste Management Division, are all subjected to individual performance audits carried out in line with Umdoni Municipality's OPMS Framework.

The OPMS is a framework that describes a municipality's sequence and processes of performance planning, monitoring, measurement, review and reporting. While it outlines the different role players in the municipality, it also describes how the process of improving performance will be conducted, organised and managed. It also describes how the process of improving performance will be rolled out.

The Municipal Planning and Performance Management Regulations compel municipalities in South Africa to have their OPMS consistent with several legal frameworks. These frameworks are the White Paper on Local Government (1998), Local Government: Municipal Systems Act (MSA) (32 of 2000), the Municipal Finance

Management Act (MFMA) (56 of 2003) and the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006. The primary functions of these legislations are to monitor, measure, review and audit the performance standards of a municipality and its staff against set targets and contractual obligations. In so doing, this ensures that a certain municipality achieves its goals and objectives (Umdoni Municipality Integrated Development Plan, 2015/2016).

1.4 PROBLEM STATEMENT

The post-1994 South African government adopted performance management as a tool to achieve effective service delivery (Manyaka & Sebola, 2012). The adoption of PMS frameworks in South Africa is a strategy to maximise effective service delivery in local government, as provided for in Section 152 of the Constitution of 1996. Furthermore, there are several pieces of legislation which exist in South Africa to help adopt PMS by necessitating their implementation.

The benefits of PMS are to help employees have a clearer insight of their jobs, clarifying job duties and responsibilities within municipalities, assisting employees to contribute to the achievement of municipal IDPs, helping employees to discover their areas of strengths and weaknesses, enhancing individual career development through informed decision-making and focused training, facilitating the evaluation of job analysis information and rectifying faulty aspects thereof; as well as developing the human resources of municipalities (Drakenstein Municipality, 2012). The adoption of PMS frameworks in South African municipalities has not translated to their effective practical implementation. This means that failure to ensure the effective implementation of PMS frameworks within municipalities would inhibit the achievement of municipality performance targets and strategic goals.

The Umdoni Municipality Annual Reports from 2011 through to 2016 highlight the current challenges experienced by the municipality in implementing its PMS framework across all departments and divisions, with the Solid Waste Management Division being the worst affected. The report notes that the Solid Waste Management Division was staffed with 109 employees, while the whole Community Service

Department had a total of 350 staff as of December 2012. The Municipality's Audit Report stated that the adherence to PMS, particularly within the Solid Waste Management Division, was a challenge and there was a need to improve the processes of achieving the municipality's IDP objectives (Umdoni Municipality Annual Report, 2011/2012).

The Audit Report noted that the municipality's PMS was affected by poor processes used in assessing performances, for example, there were poor practices in the collection, analysis, reporting, communication and reviewing of performance information. There was a lack of supporting evidence regarding the actual performance reported, as in most instances, the supporting documentation of reported performances was non-existence. In addition, Umdoni Municipality's incidences of its Key Performance Indicators (KPIs) did not meet the SMART criteria set by the National Treasury in the Framework for Reporting Performance. SMART is an acronym for specific, measurable, achievable, relevant and time-bound. It resembles the attributes which an employee performance management process must possess (Buchner, 2007). This suggests that there are several problems within the municipality, concerning the implementation of its PMS framework, which as a result, affects employee output and service within the Solid Waste Management Division (Umdoni Municipality Annual Report, 2011/2012).

1.5 AIM OF THE STUDY

The aim of the study is to assess the adherence to performance management framework by the Solid Waste Management Division of the Umdoni Municipality, following indications of slow refuse collection, which was a time bomb for a health hazard outbreak. In its recommendation, the study seeks to identify strategies which municipalities in South Africa could adopt to facilitate the successful adherence to PMS.

1.6 OBJECTIVES OF THE STUDY

The key objective of this study was to assess the Umdoni Local Municipality's (ULM) PMS of its Solid Waste Management Division, highlighting the shortcomings and discrepancies that may exist between this framework and the actual management

practices, particularly in relation to refuse collection. The purpose being to determine the degree to which a PMS is adhered to, in this service area. The objectives of the study were:

- To assess the alignment of the Performance Management System of the Umdoni Municipality with the organisational strategy;
- To analyse the current application of the Performance Management System principles at the Umdoni Municipality;
- To evaluate the personal opinions of employees regarding the benefits of the use of Performance Management System at the Umdoni Municipality; and
- To determine the factors hindering the effective application of Performance Management System at the Umdoni Municipality.

1.7 RESEARCH QUESTIONS

The following research questions were developed to address the above objectives;

- To what extent is the Umdoni Municipality's Performance Management System aligned with the organisational strategy?
- To what extent are the current Performance Management System principles applied at the Umdoni Municipality?
- What are the personal opinions of employees regarding the benefits of Performance Management System at the Umdoni Municipality?
- What are the factors hindering the effective application of Performance Management System at the Umdoni Municipality?

1.8 SIGNIFICANCE OF THE STUDY

This study is significant for several reasons. Firstly, the study recommendations could help improve the collection of refuse within the entire Umdoni Municipality, which is currently at the verge of turning into a health hazard. If refuse collection is effectively managed, this could improve the sanitary conditions in Umdoni, ultimately improving the community's standards of living. Most of the studies available focus on performance management within human resource, finance, operations, engineering, and public relations, disregarding refuse collection. Hence, academically, the study will contribute to the existing scant empirical literature on performance management within the refuse collection segment. It is critical to note that the study will develop a fresh interview guide as a research instrument for the study, as opposed to adopting

an existing one, thus ultimately contributing to new knowledge. The study will be a revelation of what actually prevails within Umdoni Municipality, regarding adherence to the most valued tool towards managing service delivery.

1.9 BRIEF EMPIRICAL REVIEW

Several scholars in public administration, human resources, public personnel management and corporate governance fields have written that performance management is one of the most critical practices needed to address service delivery (Nils-Goran, 2000; Van der Waladt, 2004; Byars & Rue, 2006; Amos *et al.*, 2008). Armstrong (1995: 429) defines performance management as “a means to achieve positive results by an institution, teams or individuals, by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements”.

The eThekweni Municipality defines performance management as a practice that assesses the application of an organisational strategy and is also an instrument of managing several activities that ensure the achievement of efficient productivity. These activities include planning, monitoring performance, assessing performance and reviewing performance in the organisation (eThekweni Municipality Performance Management System Framework, 2008). Similarly, within the context of local government, Naidoo (2007) noted that a municipality’s PMS is the chief instrument used to monitor, review and advance the implementation of IDP and to estimate the progress made towards achieving the objectives of the IDP.

Performance management is an important organisational activity which assures that activities in the organisations are carried out in a coherent and effective manner. Furthermore, performance management is capable of building a culture of Total Quality Management (TQM) and can establish service-orientated culture in the day to day activities of an organisation. However, employee performance determines whether individual employees and the organisation perform to the set standards. Therefore, the involvement of all stakeholders in the formulation and implementation of a PMS is imperative. A study by Armstrong (2009), which investigated the challenges faced in implementing public sector PMSs, found that the crucial issues sustaining any successful PMS are the inclusion of all players, continuous

communication, the existence of a shared vision, knowledge of the PMS, as well as commitment by all stakeholders. In a similar vein, a study by Henning and Sterling (2012:13) indicated that the effectiveness of PMSs depends on the commitment of organisations and the extent to which they value the outcome of performance appraisals and reviews.

Other studies assessing dimensions of PMS include that conducted by Paile (2012), which investigated staff perceptions of the implementation of a Performance Management and Development System. The case study focused on Father Smangaliso Mkhatswa and looked specifically at “the implementation of individual performance management in the Gauteng Department of Social Development to improve the employees’ performance” (Paile, 2012: 1). In this study, Paile (2012) noted that the performance management cycle should involve employees, supervisors and human resources units, whilst the process comprises performance planning, performance communication, data gathering, observation and documentation, performance review, performance diagnosis and coaching. The study concluded that whilst employees and supervisors were involved in performance management assessment, the PMS was impartially implemented and was unfairly abused to settle personal scores (Paile, 2012). This perhaps highlights the sensitivity of implementing a PMS and the ethical aspects that should be taken into consideration in the governance of its implementation and use. In contrast, this study will assess the adherence to performance management systems by municipalities, focusing on a specific division of a municipality, that is, the Solid Waste Management Division of Umdoni Municipality.

Kgantlapane (2009) also undertook a study, probing into other dimensions of PMS at the municipal level. In the study, Kgantlapane (2009) analysed the performance management system of the Ekurhuleni Metropolitan Municipality. The primary research objective of the study was to analyse the impact of the PMS of the Ekurhuleni Metropolitan Municipality, to determine its effectiveness in motivating employees and to meet the municipal targets (Kgantlapane, 2012). The main finding of this study was that the PMS of Ekurhuleni Metropolitan Municipality only applied to senior managers. The author concluded that the PMS in the Ekurhuleni Metropolitan Municipality should be rolled out to all levels or grades of the organisation and that incentives or rewards

be introduced for high performers. The motivation for this conclusion was that PMS was paramount to ensuring staff retention and succession planning (Kgantlapane 2009). This means that PMS can only form a basis for both lateral and vertical movement of employees, if the performance management process is conducted effectively to produce genuine performance measurement outcomes.

In addition, the performance appraisal system is very important for the efficient functioning of organisations (Chubb, Reilly & Brown, 2011). In a study evaluating unaided performance target awareness in a public sector in Serbia, Jaksik and Jaksik (2013) investigated the perceptions of employees regarding the standards set for their performance in the workplace and revealed that almost half of the employees in the organisation acknowledged the existence of standards, whereas a quarter of the employees perceived organisations to not having performance standards. Surprisingly, these findings revealed that up to 33% indicated a lack of awareness and knowledge of performance standards. This is largely because public service organisations fail to arrange capacity-building programmes to address known weaknesses. Letsoalo (2007), as well as Sebashe and Mtapuri (2011), for instance, highlight that if the majority of municipal officials are not trained, the implementation of performance management systems will be jeopardised and the officials who are expected to take part in the performance management system would not have understood the process.

Sebashe and Mtapuri (2011) detailed the dynamics surrounding adherence to performance management in organisations. Their study findings revealed that PMS in South African public institutions is largely flawed because there is little employee involvement in the planning of performance management practices. In addition, Sebashe and Mtapuri (2011) identified a lack of training opportunities to address identified weaknesses and the non-payment of good performance remunerations. Furthermore, the study revealed that most employees did not know their performance targets, as set out in the Service Delivery and Budget Implementation Plan of 2011.

Over and above the elements identified above, the effectiveness and efficiency of implementing a PMS within local authorities is affected by several factors. These factors are either from within the municipalities themselves or are consequent of the

socio-economic and political environment. Messah and Kariuki (2011) conducted a study to investigate the factors affecting the implementation of performance contract initiatives within Maua Municipal Council in Kenya. Using empirical data gathering through questionnaires and interviews with municipal officials and local citizens, the study revealed that the effectiveness of PMS and the implementation of performance contracts were affected by the lack of understanding of performance contracts by employees, limited employee participation in target-setting, lack of PMS training; as well as the absence of management procedures and practices that provide a support environment for performance contract execution (Messah & Kariuki, 2011).

Furthermore, Messah and Kariuki (2011) concluded that the above factors negatively affected staff performance, service delivery and customer and employee satisfaction. Therefore, they recommended that municipalities embark on an inclusive stakeholder participation in the implementation of performance targets, contracts, increasing training sessions and the simplification of management procedures and practices.

Jessa (2012) conducted a study assessing organisational performance management (OPM) at the Drakenstein and Stellenbosch municipalities. The study explored the degree to which OPM was being implemented and further explored the organisational capacities to implement performance management systems by these municipalities. The findings of the study showed OPM to be effectively implemented and that there was need for it to be institutionalised. Similarly, Addict and Ferlie (2006) conducted a study which also focused on OPM in public organisations. Although the study by Addict and Ferlie (2006) was based on a public health organisation, the findings matched those by Jessa (2012), which revealed the importance of institutionalising performance management systems in assuring adherence to PMS.

Chan (2004) did a survey study of municipalities in Canada and the United States of America (USA). The study showed that performance management was a system which was in constant need for improvement. It also showed that the balanced scorecard was a mainstream method for performance evaluation. Munzhedzi (2011) performed a study that perhaps held the strongest similarities to the present study. Munzhedzi's (2011) study assessed whether PMS contributed to the departmental productivity of the Department of Local Government and Housing (DLGH) in the

Limpopo Province. The findings of the study showed that there were several challenges that influenced the implementation of PMS. One of the key findings was the use of a biased rating system.

It is important to note that there has not been notable research around waste management systems in local authorities, despite the importance of the service to the communities. This makes this research unique and valuable to the public administration scholars. Literature on performance management in local municipalities has been reviewed. Whilst there has been much literature in the field of local government performance management, such studies have had a general approach, as opposed to the current study which focuses on a specific department or division. Thus, this research will have a departmental focus, which will assist in providing greater detail. The literature reviewed will assist in providing the basis for the research and this study will attempt to narrow the gaps revealed in the above reviewed literature.

1.10 A BRIEF METHODOLOGY FOR THE STUDY

There are three methods of conducting research, namely quantitative, qualitative and mixed research methods (Keele, 2011; Gray, 2013). Quantitative research takes the form of a positivistic paradigm approach, whereas qualitative in most cases, takes the form of a phenomenological paradigm (Keele, 2011; Gray, 2013). Quantitative research is a method which depends on numerical calculations to analyse research data and to arrive at a conclusion (Wiid & Diggines, 2010). In contrast, qualitative research uses the meticulous descriptions by respondents to explore the meaning of research data and to arrive at a conclusion (Wiid & Diggines, 2010; Keele, 2011).

The study assessed whether the Solid Waste Management Division within Umdoni Municipality adhered to its PMS framework. The study employed the quantitative research method and the analysis of the study was conducted by the collection of data from a sample of 115 participants, using the Likert scale questionnaire.

1.11 DEFINITION OF KEY CONCEPTS

Evaluation – describes the objective assessment of a planned, on-going, or completed process or activity, with the aim of determining its worthiness, significance,

efficiency and effectiveness, state of progress and impact or sustainability (Zvavahera, 2013).

Impact – refers to the changes and consequences that result from the introduction of specific intended and unintended activities or processes (Chubb, Reilly & Brown, 2011).

Integrated Development Plan (IDP) – refers to a five-year plan that integrates economic, sectorial, spatial, social, institutional, environmental and fiscal strategies in guiding the activities of a municipality, as provided for in terms of Chapter 5 of the Local Government Municipal Structures Act (2000), so as to assist municipalities to fulfil their developmental role through setting Key Performance Indicators (KPIs) and some criteria for measuring performance (Nel, 2001).

Local Government – refers to that sphere of government closest to the people, consisting of local authorities in the form of Metropolitan municipalities, Local municipalities and District municipalities, whose function is to deliver basic social services and address local development issues in consultation with the local citizens (RSA Constitution, 1996; Nel, 2001).

Monitoring – is the systematic process of collecting data on specified indicators to provide indications of the extent of progress made and achievements recorded towards certain goals and objectives (Chubb, Reilly & Brown, 2011).

Objectives – are the general outcomes or results to be achieved through actions or activities (Chubb, Reilly & Brown, 2011).

Performance Management System (PMS) – is a strategic and systematic process which equips leaders, managers, employees and stakeholders at different levels, with a set of tools and techniques to plan, monitor, measure, review and report performance of the organisation in terms of indicators and targets for efficiency, effectiveness and impact, with a view to improve organisational and individual performance to enhance service delivery (Burns & Zhiren, 2010).

Performance Appraisal – involves the formal and continuous process of reviewing and evaluating individual employee or team behaviour, performance and productivity, in relation to an established criterion (Hogwood, 2014).

Performance Indicators – are quantitative and/or qualitative yardsticks or benchmarks that are used to assess the extent and quality of achievement of targeted results (Simpson, 2006).

Performance Management – is the method of detecting, evaluating, running and enhancing the performance of employees in an organisation, through an informed process of learning work expectations, performance feedback and the identification of learning opportunities (Chubb, Reilly & Brown, 2011).

Performance Measurement – is a process used to calculate the actions of employees in their attempt to achieve their job description goals and performance targets (Sebashe & Mtapuri, 2011).

Effectiveness – is the ability to complete set activities and actions in the workplace at maximum level (Boyle, 2006).

Efficiency – is the capacity to complete an action or activity in the workplace with most minimal expenditure of time or effort, and in the most a cost-effective manner (Armitage & Conner, 2001).

1.12 STRUCTURE OF THE DISSERTATION

The structure of the entire dissertation is as follows:

Chapter One – Introduction

This chapter has introduced the topic of study, provided a general overview of the study, the significance of study, the problem statement, the empirical review of study, research objectives, research questions, research hypothesis and the definition of concepts and structure of study.

Chapter Two – This chapter traces the origin and evolution of management. It discusses the emergence of PMS and offers an elaborative discussion of the definition of PMS. In addition, the chapter discusses the theories of management, which underpin PMS. It compares the Traditional and the New Public Administration theories. The chapter also highlights the theoretical framework of the study, which basically describes the Scientific Management Theory, the Systems Theory, the Institutional theory and the Rational Choice Theory, respectively. The chapter ends with a broad analysis of the concept of adherence, which is core to the study.

Chapter Three – This chapter describes the various legal frameworks that guide the formulation and implementation of PMS within municipalities in South Africa. In addition, the PMS elements and the Performance Management Cycle are highlighted. It discusses the importance of linking PMS with Integrated Development Plans in municipalities. The chapter ends by showing the PMS process of the Umdoni

Municipality. The activities of the PMS process are highlighted for each part of the year.

Chapter Four – This chapter discusses in detail, the research design and methodology employed to guide this study. The sampling strategy and the ethical issues that were considered are also described. Furthermore, the methods and procedures that were used to collect vital information and to attain data from the participants are also described at length.

Chapter Five – This chapter provides a description of the research findings. This includes the graphical and/or tabular presentation of results. The results are interpreted and briefly discussed in the context of the Umdoni Municipality and linkages made with the reviewed literature of chapters 2 and 3.

Chapter Six- This chapter presents the conclusion of the study and in closing, it offers recommendations to improve PMS in the Umdoni Local Municipality. In addition, the chapter provides suggestions for further studies.

1.13 CONCLUSION

This chapter has presented the introduction to the study; a general overview and significance of the study, followed by the problem statement. Existing literature about PMS from different scholars in the realm of public service in general and South African municipalities in particular, has been reviewed in order to have a holistic understanding of the area of study.

In addition, this chapter showed that there are several studies, which have been conducted on performance management. The chapter asserts that many scholars indeed regard PMS as central to public sector efficiency and productivity. Armstrong (1995), Curtis (1999), Holzer and Kloby (2005), Ngwabi (2003), De Bruijnen (2007), Amos *et al.*, (2008), Dai and Teng (2008), Coulson (2009), DeWaal and Counet (2009), Gains *et al.* (2009) and Linna *et al.* (2010) are among the several researchers who have conducted similar studies on the implementation of PMS. However, the study showed that studies focusing on Refuse Collection and other Waste Management services are very limited in South Africa. Therefore, this makes this study very important as it adds new knowledge to PMS in waste management studies. The chapter also highlighted the key concepts of the study. A summarised structure of the study has also been provided. A discussion of the origin and evolution of management

is presented in Chapter 2. In addition, the emergence of PMS, the theories underpinning PMS, the theoretical framework and the concept of adherence, are also discussed in the next chapter.

CHAPTER TWO

2 THE ORIGIN AND EVOLUTION OF MANAGEMENT AND THE EMERGENCE OF PERFORMANCE MANAGEMENT SYSTEMS

2.1 INTRODUCTION

The previous chapter introduced the study by presenting the background to the study, with the view to set the stage for the entire study. This chapter traces and discusses the origin of management, the evolution of management and the emergence of PMS. The dichotomy between the traditional models of public administration and the new public administration models is discussed. Lastly, the theoretical framework of the study is showcased and the rationale for adherence to Performance Management System (PMS) is discussed as well.

2.2 THE ORIGIN OF MANAGEMENT

The history of management in the workplace dates back to the primitive society in the middle ages. However, documented management literature dates back to the 18th century, while the most popular and most recognised offerings in management were from the 20th century (Roodt, 1990). James Wall and Mathew Robinson were notably the first managers to emphasise the importance of planning in an organisation in the 1790s. It is important to note that Wall and Robinson's work was in the context of manufacturing factories, as the two were manufacturing engineers. Their main contribution was the assertion that the planning of production was a key management principle in a workplace (Koontz, O'Donnel & Weighrich, 1984).

2.3 THE EVOLUTION OF MANAGEMENT

Several scholars who have written work on the evolution of management argue that the early management work to be recognised was by Robert Owen and Charles Babbage in the 1800s (Koontz, O'Donnel, & Weighrich, 1984; Gosselin, 2005; Wren &

Bedeian, 2009). Robert Owen is known as the pioneer of management thought. However, his work was more oriented towards production in factories. Owen asserted that having powerful machinery in the manufacturing industry would increase productivity (Owen, as cited by Gosselin, 2005). While Charles Babbage stressed the need for community and equity models in the workplace, on the other hand, he argued that employees needed to be paid fairly because the actions of the employees in the workplace are influenced by the wages they earn, as compared to other employees. Marxists may appreciate the work of Charles Babbage because he stressed the need for a profit sharing model, where workers in production will be rewarded by sharing the profits made in production. Babbage argued that such a model of profit sharing motivated employees to maximise production (Babbage, as cited by Gosselin, 2005; Wren & Bedeian, 2009).

Henry Varnum Poor is also another recognised figure from the 1800s. He stressed that managers must create clear organisational structures in which workers can be held accountable to and the need for cooperative work-setting relations. -Poor's work is recognised for coining the term "esprit de corps", which means the genuine loyalty between workers and the organisation's leadership (Heames & Brenland, 2010:10).

The most popular thought in management was seen in the 1900s, which comprised the work of Frederick Taylor and Henry Fayol. Frederick Taylor is known as the 'father of scientific management' because of his ground-breaking work in his article *The Principles and Practice of Management* (1911). Taylor saw the role of management as solely based on increasing efficiency in production and argued the promise of an increase in wages led to the increase in productivity by employees (Taylor, 1911; Kessler & Purcell, 1992). Henry Fayol, also known as the "father of modern management", stressed the principle of flexibility and employee empowerment. Fayol argued that organisations must be flexible enough to change plans in order to adapt to rapid changes in the workplace. Similarly, to the work of Henry Varnuupoor in the 1800s, Fayol also emphasised the need for teamwork in the workplace to increase productivity and equity (Fayol, as cited by Roodt, 2011).

It should be noted that prior to the early 1900s, management was viewed as a one-dimensional action because it only focused on productivity in mainly one work setting,

namely the manufacturing industry (Gosselin, 2005). The recognition of this narrowness of management in the 1900s eventually led to the emergence of Performance Management System (PMS). PMS rose to prominence in the 1960s. The reason for the rise in prominence of PMS was due to the criticism of the then traditional thought of management, which focused on increasing profit for shareholders through the increase of productivity. In the measurement of performance prior to the mid-1900s, the focus was on monitoring organisational costings, budgets, predicting future profits and cost variances. This was seen to be one dimensional and lacking information that demonstrated a comprehensive analysis of the organisation (Pulakos *et al.*,2012; Gosselin, 2005; Haines & St-Onge, 2012; Rothberg & Morrison, 2012). Hence, this led to a shift towards a performance measurement model, which included both financial and non-financial actions and consequences needed to be developed, which is now known as PMS.

2.4 THE EMERGENCE OF PERFORMANCE MANAGEMENT SYSTEM

In most human resource management and public administration literature, the origins of the modern PMS are mostly traced back to the first quarter of the 20th century (Dransfield, 2000; Kloot & Martin, 2000; Gruening, 2001; Gregory *et al.*, 2013; Hogwood, 2014). Notable scholars such as Murphy and Cleveland (1995) trace the origins of PMS to the era long before the Industrial Revolution of the 18th century. It is during the era of the Industrial Revolution that managers within companies began to be cognisant of the value and significance of employee performance, with regards to company output. Thus, Performance Management Systems were identified as a very important tool with which to increase output in production.

Researchers such as Gregory *et al.* (2013) extensively conducted studies on the management concepts of 'management by objectives' and 'personnel motivation'. The latter and the former are both credited for the development of PMS theories, specifically the performance evaluation systems. In addition, Gregory *et al.* (2013) notably asserted the place of PMS in organisations in the 1960s. In a series of studies that they conducted, Gregory *et al.* (2013) showed that over half of the companies in America had adopted PMS. Gregory *et al.* (2013), further assert that the reason PMS grew popular in America was that it became to be recognised as the most efficient

rating system and it led to the increase in production. In addition, Gregory *et al.* (2013) state that PMS affords for performance to be reciprocally tied to production. In addition, the study by Gregory *et al.* (2013) asserted that 60% of companies in America had adopted a PMS by the early 1960s. This was informed by the recognition by companies that providing an efficient rating system that is uniform, efficient and that increases productivity, was most desirable. PMS was identified as the efficient rating system because it ties performance and reward (Gregory *et al.*, 2013).

Frederick Taylor is identified as an early contributor of performance management. His Time study together with Frank and Lillian Gilbreth's Motion study, formed the foundations for the scientific management studies that gave birth to PMS (Taylor, cited by Bologun, 2009). The studies of the former and the latter involved direct observation of job tasks carried out by employees, with the use of time keeping devices, such as stopwatches, with the aim of reading the time taken to accomplish a task (Heinritz, 2011). According to Heinritz (2011), Frederick Taylor's objective was to transform management and to enhance employee productivity without paying any regard to the workers' physiological costs, hence, the emergence of the human relations school of thought.

These two scientific management work techniques of Taylor and the Gilbreth were later integrated and developed towards the improvement of work methods in engineering industries before becoming popular in other institutions for evaluating employee performance and appraisal. This popularised PMS in both the private and public sector organisations (Armstrong, 2009).

As PMS became increasingly popular, it began to be linked to remuneration, compensation and reward systems. The essence was to ensure that reward and compensation systems were not only lawful, but also fair and defensible. In addition, this led to the increased application of performance management in both the public and private sector corporates in the 18th century (Harris, 2010). However, it is important to note that performance management in the 18th century did not pay attention to the developmental aspects of performance evaluation, since the production output was mainly tied to reward or compensation only. It was not until the period between the 1950s and 1980s that the emergence of thought around the

developmental aspect of PMS was identified to be a progressive solution, as it was more progressive than the traditional performance management, which mostly focused on reward. In the United States of America (USA), this period of the emergence of PMS witnessed the promulgation of the Performance Rating Act in 1950, the Government Employees Training Act of 1958, the Salary Reform Act of 1962, and the Civil Service Reform Act of 1978. These pieces of legislation in the USA provided legal obligations for the improvement of employee performance, development, employee training and reward practices (Dickenham, 2008). Events during this period, according to Lahman and Fresser (2001), led to the PMS model that is applicable to this day.

An evolutionary process of the concept has thus followed the origin of PMS, as highlighted above. At first, PMS was informal. It then developed into a formal system with rules and principles. Later, PMS broadened its goals and objectives. PMS then evolved to cover a broad range of variables, other than actual work done, to encompass teamwork, conflict reduction issues and employee behaviour. Today, contemporary PMS has further evolved with the birth of new techniques and methods of performance management that will be discussed in the upcoming sections.

In the contemporary world, PMS has become a mainstream management practise (Shaout & Yousif, 2014). Most organisations, both the private and public sectors, are increasingly adopting PMS frameworks to ensure more efficiency, increased productivity and efficient delivery of services. Evidence of the growing popularity of PMS in world is its adoption by developing nations in Africa, Latin America and the Asian tigers, which are Hong Kong, Malaysia, Taiwan, Singapore and South Korea (Page, 1994; Maphunye, 2009). Developing countries have taken significant strides in adopting PMS in public organisations. However, it is important to note that developing countries are still lagging in the technical capacity to implement modern PMS features. A lack of financial resources, a lack of a skilled human resource and state overload, are among the key reasons for the lagging by developing countries (Martin, 2000). PMS is a significant part of this study, hence, was imperative that a broad discussion of its definition of the concept is conducted. Below is a discussion of the definition of PMS.

2.5 DEFINING PERFORMANCE MANAGEMENT SYSTEMS

Burns and Zhiren (2010) assert that PMS is a subtle concept with multiple connotations. However, the most accepted connotation definitions of PMS relate the concept as a sub-set or sub-field of the broader field of the human resources management system. Selected definitions will be presented to unpack the concept of PMS. As Brennan (2003) noted, defining concepts assists in revealing the necessary and sufficient conditions of a concept's existence, that is crucial in eliminating ambiguity.

Neely *et al.* (1995) define PMS as the set of criteria of measurements used to endlessly enumerate the efficiency and effectiveness of actions. Thompson (2013), on the other hand, presents a more comprehensive definition of PMS, arguing that it is a premeditated methodical process of the human resource management practices of an organisation. The process includes activities such as planning, monitoring, measurement, review and reporting of employee performance.

The American National Standards Institute (2012) defines PMS as “a system of upholding and enhancing the job performance of employees through the use of performance planning processes of coaching, mentoring and the continuous provision of feedback”. Thus, PMS, from the American National Standards Institute's perspective, entails the effective communication among employees through a sustained consistence process.

In analysis, it can be noted that the above definitions denote that PMS is an inclusive process because it involves the communication of organisational objectives and vision to all organisational employees, at all levels of an organisation. The definition of PMS is significantly centred on evaluation. Neely *et al.* (1995) implies that PMS incorporates the setting of targets for employees in terms of measurable outputs to ensure the consistent rating of an employee's performance. This view is supported by Pulakos (2004) who points out that PMS is important for organisations because it clarifies employee job expectations and enhances employee productivity. Pulakos *et al.* (2012) further argue that PMS also develops employee capabilities through effective

feedback, drives employee behaviour, aligning employee behaviour with the organisational values and goals. In addition, PMS also provides a platform to effectively make good decisions for the human capital and helps with the improvement of communication processes between employees and managers in an organisation.

The above definitions of PMS clearly show that PMS is a broad management concept. Hence, to gain a clearer understanding of the concept, it would be important to look at the various theories of public administration which foster the principles of PMS and those that are adapted from the principles of PMS. Below is a discussion of the various management theories that help in the mastering of the concept of management and, which have guided the study in accessing the extent to which the Solid Waste Management Division of the Umdoni Waste Division adheres to its PMS Framework.

2.6 MODELS OF PUBLIC ADMINISTRATION: THE TRADITIONAL MODELS VERSUS THE NEW PUBLIC ADMINISTRATION MODELS

The traditional model of public administration is the original model of management in public administration. It is characterised by bureaucratic practises such as centralisation and an emphasis on the subordination of employees by management in an organisation (Kettl, 2000; Pfiffner, 2004). Max Weber is a key figure in the emergence of the traditional models of public administration. Weber was of the view that intensive hierarchical control was a more effective method of management (Weber, cited by Pfiffner, 2004). The New Public Administration models adopted the management practises which reflect the characteristics of the private sector by public organisation. The features of the New Public Administration are specialisation, delegation, decentralisation and an increased interest in consumer satisfaction (Turner & Hulme, 1997; Boinand & James, 2006). An observation of the propositions made by writers of both traditional and new managerial practices concerning public administration is an important topic to uncover. The reason is that some features of the traditional models of public administration still exist in organisations in the contemporary world (Bourgon, 2011; Nhema, 2015).

According to Katsamunska (2012), the theoretical basis of the traditional models of administration is derived from classic writers such as Woodrow Wilson, Frederick

Taylor and Max Weber. In the several features of the traditional model, the three writers pinpoint scientific management, bureaucracy and task-based approach, as the key features which describe the Traditional Models of Public Administration. On the other hand, efforts have been made to correct the deficiencies of the Traditional Model by introducing decentralising organisational autonomy as a new concept that distinguishes New Public Administration (NPA) from the Traditional Models of Public Administration. Dehardt (2008) is of the view that New Public Administration aims to understand the impact of policies on society to find ways that could be employed to serve the society better, while traditional models focused on the ways which only aimed at enhancing the productivity of workers. The discussion in the next section will unpack the Traditional Models and the new Public Administration Models, with a view of highlighting how they both impact on the public.

2.7 TRADITIONAL MODEL OF PUBLIC ADMINISTRATION

The two major contributors to the Traditional Model of Public Administration are Frederick Taylor and Wilson Woodrow, amongst others. The two believed in a system of management characterised by political leadership in governance. This leadership operated based on strict hierarchy, which comprised full-time employees who were solely inspired by public interest and were mere administrators of policies decided upon by politicians (Katsamunskas, 2012). Furthermore, this model is a system that is founded on guidelines and code of practices within public laws in which policies are agreed at the top and are carried out through a sequence of offices, with each office reporting to the one above it (Pfiffner, 2004). Taylor (2011), in support of this view, described this model as a way the workmen surrendered their conscience to 'task masters' who in turn specified what is to be done, how it is to be done and the completion time for the activity. Taylor constructed his views on Woodrow's theory on the suspicious relationship between the polity and the administration.

However, Pfiffner (2004) argues that this dichotomy had often been misinterpreted when it was critiqued later by public administration scholars who believed that senior or high-level public servants had an important role to play in the formulation of public policies and therefore, would dismiss the concept as obsolete. However, the real importance of the concept was its principle, which implied that politicians had a legal

right to make policy decisions for the polity and that civil servants would carry out those policies in good faith (Pfiffner, 2004).

The traditional model of public administration is marred by some limitations. Wren and Bedeian (2009) state that the features of the Traditional Model of public administration such as centralisation, control and hierarchal structures have been criticised for producing faults such as delays in service delivery, inflexibility to the ever-changing organisational environment, unresponsiveness and the lack of sensitivity to the needs of the public. Pfiffner (2004) argues that there was therefore a need to address the inadequacies of the Traditional Model of public administration. It is important to note that the provisions for addressing these limitations are provided for with the New Public Administration model, which is discussed below.

2.8 THE NEW PUBLIC ADMINISTRATION MODEL

The New Public Administration (NPM) model is focused on results and management, as opposed to process and administration. Similar to Pfiffner (2004), Walker (2000) asserted that the NPM model was created to correct the deficiencies of the traditional public administration models. The term 'management', as indicated by Walker (2000), describes the private sector experience, as compared to the public sector. Walker (2000) argues that managers should be responsible for the use of resources to achieve results, as opposed to administrators who merely focused on formalised processes and procedure adherence.

The NPM emerged in the 1980s and 1990s, partly as a reaction to the traditional bureaucracy's inflexibility, which resulted in poor client services and inefficiencies that were derived from focusing on processes, rather than outcomes (Hughes *et al.*, 2008). Some of the elements of NPM, as mentioned by Box *et al.* (2000:22), emphasised the use of systems and approaches that sought to ensure "customer-focused quality improvement".

Allison (1982), as quoted by Hughes *et al.* (2008), highlighted the difference between administration and management. Management is based on drawing plans, actions and making decisions, while administration consists of drawing policies, objectives and

following decisions. This suggests that management is about giving autonomy to the direct employees of work actions in multiple levels of the organisational hierarchy, while administration is described by the centralisation of autonomy at the top of the hierarchy.

The benefits of NPM are that it can mitigate problems caused by strict and rigid rules of hierarchical structures, through the delegation of authority, as it permits greater flexibility in lower levels of management. In addition, NPM promotes competition in the delivery of services, hence, this allows for better services, as it involves contracting out and the privatisation of public services (Pfiffner, 2004).

However, it is important to take note of the limitations of privatisation and the outsourcing of public services. The problem is that the private sector is more profit-driven, hence, there is fear that may have regard for citizens and have no accountability to citizens, but to profit accumulation (Keane, Marx & Ricci, 2001). There is a contrast between the practises of the private and the public sectors. Public organisations are entrusted with the responsibility of converting political mandates to service delivery, which is solely to serve the people. Hence, this makes it become easier for citizens to complain and enforce changes to the provision of services by public institutions, as opposed to the private sector. A typical example of this would be health institutions. In public hospitals and public health institutions, citizens can complain and demand certain services to be rendered in a certain manner, whereas in the private health institutions, citizens are guided by the rules set by private hospitals, with little or no room to complain or enforce changes (Chesterman & Fisher, 2009).

Another concern with the NPM is in its processes of employment. In the Traditional Model of public administration, personnel are hired through a merit system designed by the government. Under this system, public servants are hired based on their competence and qualifications. In contrast, under NPM, government policies are implemented and carried out by people who are not directly employed by the state and therefore, there can be no guarantee that these people were hired because of their competence and qualification (Gollust & Jacobson, 2006).

The next section discusses the theoretical framework underpinning the study.

2.9 THEORIES GUIDING THE STUDY

In order to assess the extent to which the Solid Waste Management Division adheres to the standards and targets set within the Umdoni Municipality's Performance Management System Framework, four theories were aligned with the objectives of the study, namely the Scientific Management Theory, Systems Theory, Institutional Theory and the Rational Choice theory.

2.9.1 Scientific Management Theory

Scientific Management Theory, also referred to as 'Taylorism', is a management theory that was developed by Frederick Taylor in the late 19th century. According to Bovee *et al.* (1993), the Scientific Management theory analyses workflows in organisations to improve organisational efficiency and productivity. As organisations seek to meet their core activities of operation, the theory attempts to apply science to the development of work processes and management. The theory asserts that all activities and processes in the organisation can be simplified and planned into efficient ways to reach maximum productivity (Ogunbameru, 2004).

The Scientific Management theory is useful for this particular study because it allows for an analysis of the workflow processes within an organisation. The theory allows for the analysis of the refuse collection processes to identify a more efficient cycle of activities to increase productivity, for example, the activities of the truck drivers and the refuse collectors. The theory guided the analysis and assessment of how employees within the Solid Waste Management Division of Umdoni Municipality in terms of their perceptions on work, commitment and actual performance. While one believes that the Scientific Management theory is appropriate for this study, however, it is not without its shortcomings. Scholars such as Ogunbameru (2004), Olum (2004) and Mahmood *et al.*, (2012) highlight the following criticisms of the theory:

- It ignores the social and psychological needs of employees;
- It focuses more on efficiency on the factory floor, rather than at higher levels within organisations, such as management;

- The division of labour creates boredom for those who must perform routine tasks and dehumanises workers; and
- Unemployment can result from the increased use of industrial technology.

2.9.2 Systems Theory of Management

The Systems theory of management is also applied in this study. The theory views an organisation as a verified, purposeful system composed of interrelated parts (Heinz *et al.*, 1993; Bartol, 1994; Mahmood *et al.*, 2012). Bartol (1994) points out that the systems theory asserts that an organisation is a system comprising different units which interact with each other and are dependent on each other, in order for organisational goals to be achieved. The theory therefore analyses the functions of the total parts which make the organisation in terms of systems, inputs, processing and outputs, with a goal of enhancing their operations (Hicks *et al.*, 1976). This implies that in order to improve organisational success, the Solid Waste Management Division managers would have to identify all the parts and subparts of the organisation, which are vital to the achievement of its overall organisational objectives. In addition, the systems theory distinguishes between organisations which are closed systems and open systems. Organisations which are open systems depend on other systems for their inputs (i.e. money, materials, employees), whilst organisations that are closed systems do not interact with the environment (Hicks *et al.*, 1976).

The theory is useful for the study because it views organisational behaviour as an important entity of the organisational system. Hence, it indicates that organisational behaviour will be ranked highly among the organisation's priorities. The reason is that organisational behaviour is a function which allows for the effectiveness of input within the organisation. In addition, Hicks (1976) and Marhood *et al.* (2012) state that the systems theory helps managers to be more aware of all the various systems within an organisation and how they interact with each other effectively to produce a synergy effect. These subsystems could be the different departments, divisions and units which make an organisation.

2.9.3 The Institutional Theory

The scientific management theory and the systems theory make valuable contributions to the existing body of management studies. However, it is important to note that they

disregard the institutionalisation of organisational practices. It is against this background that the researcher further looks at the institutional theory and its relevance to this study.

The Institutional theory assumes that all organisational practices are embedded into a broader institutional context. It is of the position that practices and employee behaviour in organisations are usually a synonymous reflection of the historical norms, rules and structures of the organisation (Najeeb, 2004). This means that workers' actions are not determined by a PMS or incentives, or any other tangible provisions, but by historical norms. The institutional theory holds that employees will act in a way or abide to instructions, simply because they deem them part of the acceptable and expected norms of the organisation. The theory takes a normative approach as it seeks to ascertain the norms, rules, processes and structures which have been 'institutionalised' in the organisation. Institutionalisation is when norms and rules in an organisation have become accepted and become perceived as the only appropriate way of doing things in the organisation (Zucker, 1977; Scott & Meyer, 1983; Sucman, 1995; Peters, 2000; Paauwe & Boselie, 2003; Powell *et al.*, 2007; Theong, 2011; Najeeb, 2014). This means that for PMS to be effectively implemented at the Umdoni Local Municipality, it would have to be institutionalised in the whole organisation. The institutionalisation process must reach an extent that would make PMS ingrained into the organisational culture and becomes a norm.

2.9.4 The Rational Choice Theory

Since PMS reviews are based on the actions of individuals in the workplace, an appropriate theory to analyse the actions of the employees at Umdoni Solid Waste Management Division is the Rational Choice Theory. This theory asserts that human behaviour is based on individual rational perception of actions. It asserts that individuals consciously enter a process of calculating the benefits of making a choice, or taking a certain action and therefore, assumes that the actions, which individuals take, are based on the benefits that they perceive would be awarded if they make those actions (Weimer, 1995; Keman, 1996; Scott, 2000). This theory is valuable to this research because it allows for the exploration of employee perceptions and an organisational culture that helps in identifying what should be improved to maximise employee satisfaction and productivity.

In the context of the study, it is imperative that an understanding or a model of thought be derived, which can be used to understand the reasons why Umdoni employees would adhere or not, to the principles of PMS. The Rational Choice theory is ideal in exploring the concept of adherence because it explains the reasons which influence a specific behaviour in an organisation. Adherence requires a process of thought and rational examination, which is synonymous to the Rational Choice theory. The concept of adherence is discussed below.

2.10 THE CONCEPT OF ADHERENCE

Tyler (2005) defines adherence as a situation whereby employees of an organisation voluntarily obey, follow the rules, policies and procedures of the organisation or national legislation, in the work setting. However, employees can adhere to the rules and policies of an organisation and may also decide not to adhere to these rules. Tyler (2005) therefore asserted that organisations must aim to find ways to coerce and convince employees to voluntarily adhere to the rules and policies of the employer. On the other hand, Luftey and Wishner (1999) define adherence by differentiating it from compliance. In their article, Luftey and Wishner (1999) argue that compliance meant the process where an individual in the workplace obeyed the rules and policies based on the individuals work goals. In defining adherence, Luftey and Wishner (1999) made a slight contrast and defined the concept as a process whereby an individual would voluntarily follow rules, policies and procedures based on their broader social, personal and ethical beliefs.

There are several studies which look at adherence. However, they are only limited to the medical context. Low *et al.* (2016), Williams *et al.* (2008), Kripalani *et al.* (2007), Osterberg and Blaschke (2005), Simpson *et al.* (2006), Ho *et al.* (2008), Munger *et al.* (2007) and Tudor-Locke *et al.* (2014), are notable examples. On the contrary, Tyler (2005) looked at adherence in the workplace, particularly in the corporate workplace. The study by Tyler (2005) had more significance to the current study because it could contextualise the Umdoni Municipality PMS and the Solid Waste Division within the Umdoni Municipality.

Furthermore, Tyler (2005) explored the strategies for employees to adhere to the rules, policies and strategies within an organisation. Tyler (2005) identified two strategies to motivate employee adherence, thus, the command-and-control and the self-regulatory strategies. The command-and-control model is a sanction-orientated strategy which focuses on control practices enforced by employers to force employees to adhere to the organisation's rules, policies and procedures. On the other hand, the self-regulatory strategy is based on the employee's ethical values, which lead to voluntary obedience to the organisation's rules, policies and procedures. In the study, Tyler (2005) asserts that self-regulatory strategies have a much more robust influence on employee adherence. A model derived from Tyler (2005) on the organisational features that give rise to adherence in the workplace has been developed and shown in Figure 2.1.

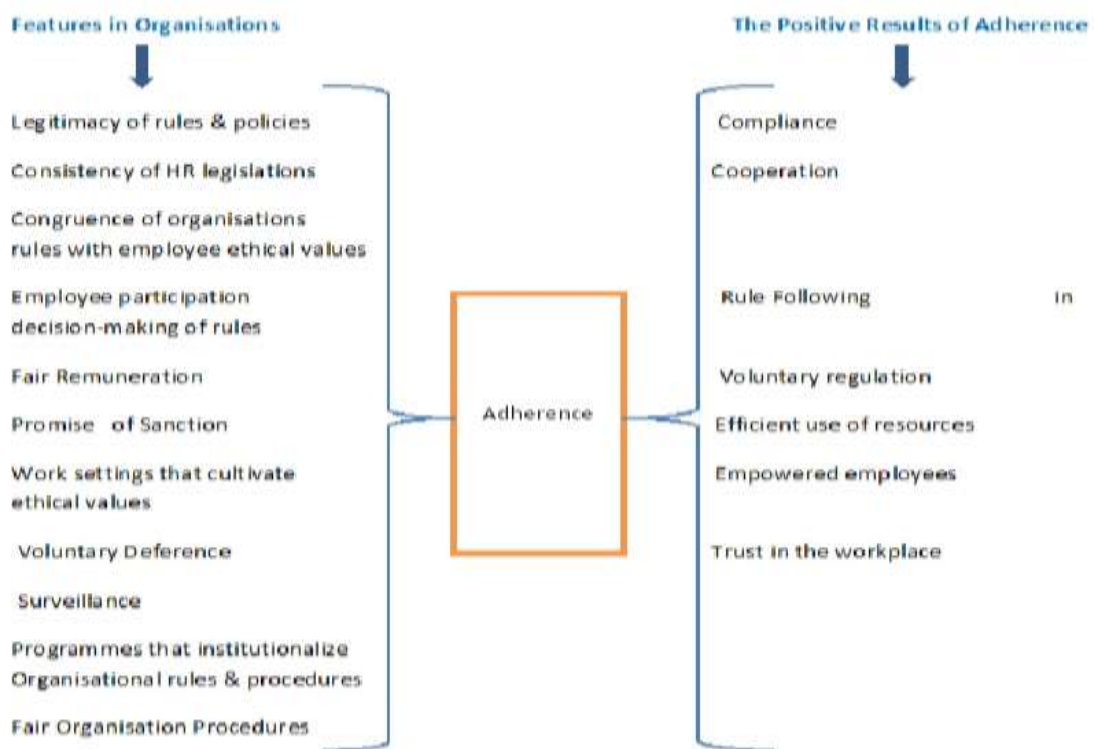


Figure 2.1: Adherence Model – features of organisations, which result in adherence.

The Adherence Model (Figure 2.1) illustrates that there are specific features which need to exist in the workplace, for adherence to occur. This model suggests that the rules and policies of the organisation must be legitimate. The employees must regard the former and the latter as being fair, ethical, rational and consistent with social norms. The most notable features are that the organisation must have a culture of employee participation in the decision-making process of the organisation. Fair

remuneration is a key feature because the rewarding of fair remuneration amounts to a reciprocal effect on the commitment and conduction of work related tasks. The organisation must also have programmes that institutionalise organisational procedures, such as learning and development initiatives. Lastly, the model illustrates that if employees feel that the organisation practices fair organisational procedures, they are more likely to react favourably to the rules and policies of the organisation.

2.11 CONCLUSION

This chapter presented the origin and evolution of management, the emergence of the concept of PMS, the theories of management underpinning PMS, the dichotomy between the traditional vs the new public administration theories, the theoretical framework of the study, as well as the concept of adherence. The following chapter presents the legislative framework underpinning PMS in South Africa, the Performance Management Cycle and highlights the PMS process of the Umdoni Municipality.

CHAPTER THREE

3 PERFORMANCE MANAGEMENT SYSTEMS IN SOUTH AFRICA: LEGISLATIVE FRAMEWORK AND THE CASE OF THE UMDONI MUNICIPALITY

3.1 INTRODUCTION

The previous chapter presented the origin of management, the evolution of management and the emergence of Performance Management System. This chapter presents and discusses the pieces of legislation underpinning the Performance Management System in South Africa. It shows the legislation that fosters the development and the implementation of Performance Management System. The Performance Management System elements and the performance management cycle are highlighted. In addition, the chapter discusses the importance of aligning the IDP and the Performance Management System. In closing, the chapter highlights the manner in which the Performance Management System process operates in Umdoni Municipality.

3.2 LOCATING PERFORMANCE MANAGEMENT SYSTEM WITHIN THE SOUTH AFRICAN LEGISLATIVE FRAMEWORK

Performance Management System, as both a concept and practice, has evolved with the discipline and practice of human resource management since the early 20th century (Olufemi, 2014). It has been a common practise for organisations to sought to align organisational resources with the strategic objectives of the organisation, so as to enhance organisational performance (Zvavahera, 2013). This section of the study will show how the practice of PMS in municipalities in South Africa is intrinsically linked. Furthermore, this section will show the legal and regulatory framework which exists in South Africa and which guides the institutionalisation of PMS in public organisations.

A regulatory framework for a PMS is vital because it ensures that the performance management processes are conducted in a legal, procedural and coordinated manner. The existence of a legislative framework also assists in ensuring that the roles, rights

and responsibilities of the different stakeholders are clarified (Van de Merwe, 2012). In South Africa, the legislative framework that guides PMS in municipalities mainly comprises the Constitution, Acts of Parliament and statutory requirements. In particular, the Constitution of the Republic of South Africa of 1996, the Local Government: Municipal Structures Act of 1998, the Local Government: Municipal Systems Act of 2000, the Government Gazette Regulations No. 7146 of 24 August 2001, the Municipal Planning and Performance Management Regulations of 2001, the Local Government: Municipal Finance Management Act of 2003, the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006. The Acts of Parliament and statutory instruments relating to municipalities in South Africa are administered by the National Department of Cooperative Governance and Traditional Affairs. The key and relevant provisions of these legislative frameworks will be discussed in the following section.

3.2.1 The Constitution of the Republic of South Africa (Act 106 of 1996)

The Constitution of the Republic of South Africa is regarded the supreme law of the country, as it sets the overall framework for the establishment of PMS in local government. Section 152(1)(a) provides that “the objects of local government are to provide democratic and accountable government for local communities” (Constitution of the Republic of South Africa of 1996:61). This provision, therefore, makes it a constitutional obligation for municipalities to ensure the implementation of PMS, as this leads to the satisfaction of citizens through accountability. This assertion is supported by the fact that accountability is a key principle of PMS and PMS has been accepted as the best framework to foster meaningful accountability. Over and above, Section 152(1)(a) of the Constitution also links the concept of PMS in municipalities to good governance, as it provides for the several principles of good governance, such as accountability, transparency, responsiveness and promotion of efficient, economic and effective resource usage (eThekweni Municipality, 2008; Fatile, 2014). Thus, the constitutional provisions cited above clearly give credence to the existence of PMS frameworks within municipalities.

3.2.2 The Local Government: Municipal Structures Act (117 of 1998)

The Local Government: Municipal Structures Act of 1998 mainly provides for the establishment of municipalities in South Africa. It details their categorisation,

classification, internal regulation and functions. In addition, it provides for the necessary requirements for the setting up of PMS in municipalities (among other provisions). Section 44(3) and 56(3)(a) of the Local Government: Municipal Structures Act of 1998 gives power to Municipal Executive Committees and Mayors to establish key performance indicators for the activities that are in line with municipalities priorities. This reinforces the assertion of the importance of performance management to municipal management.

3.2.3 The Local Government: Municipal Systems Act (32 of 2000)

The Local Government: Municipal Systems Act (32 of 2000), under Section 38, provides for the establishment of PMS within municipalities. It emphasises that a PMS of a municipality should be mutual to its resources, circumstances, priorities, objectives, indicators and targets, as defined in the municipality's Integrated Development Plan (IDP). Furthermore, Section 38(b) of the Local Government: Municipal Systems Act (32 of 2000) obliges municipalities to endorse the culture of performance management amid its political structures, political office bearers and councillors and in its administration, whilst Section 38(a), (b) and (c) provides for executive committees and executive mayors of municipalities to manage the development of the municipality's performance management system and the creation of mechanisms to assess its PMS. In essence, the establishment of a PMS in municipalities is a legal obligation in South Africa.

Section 41(1) of the Local Government: Municipal Systems Act sets out the core components that should characterise municipal PMS frameworks, notably appropriate key performance indicators and measurable performance targets that are aligned to the municipality development priorities. It emphasises that these set core components need to be monitored, measured and reported regularly. Section 42 stipulates that the community should be involved in the "improvement, implementation and review of a municipal's PMS", whilst Section 43 gives powers to the Minister to prescribe the general key performance indicators applicable to local government. In addition, Section 43 confers powers to the Minister to "assess and modify the key performance indicators" when necessary. Thus, as argued by Naidoo (2011), the Local Government: Municipal Systems Act is a significant piece of legislation because it fosters for the development and sustenance of PMS in municipalities. The Local

Municipal Systems Act ensures performance-oriented developmental government and clearly clarifies the roles and responsibilities of the Minister, municipalities and communities, whilst articulating the linkage between the municipalities' defined targets within their respective PMS frameworks and their IDPs.

3.2.4 Municipal Planning and Performance Management Regulations of 2001

Section 2(1)(e) of the Municipal Planning and Performance Management Regulations of 2001 provides that municipal IDPs must ascertain the "key performance indicators set by the municipality", while Section 7(1) states that a municipality's PMS should entail a framework comprising performance planning, monitoring, measurement, review and reporting.

Furthermore, Section 7(2) of the Municipal Planning and Performance Management Regulations of 2001 provides a guide to the formulation of a municipal PMS. It states that in designing their PMS frameworks, municipalities should clarify their PMS implementation mechanisms (within the framework of their IDPs), clarify roles of different players and determine the frequency of reporting. The Act also provides for the development and adoption of PMS in municipalities, setting and reviewing of key performance indicators and performance targets, together with the procedures for the monitoring, measuring, auditing and reviewing of performance in municipalities. Section 15(1) states that the community should be involved in the drafting of municipal IDPs and PMS. In analysis, the provisions of Municipal Planning and Performance Management Regulations of 2001 are essential in strengthening the implementation of PMS in South African municipalities, as well as granting rights to communities to participate in the formulation of PMS in municipalities within their localities.

3.2.5 The Local Government: Municipal Finance Management Act (56 of 2003)

According to the South African Local Government and Housing Strategic Plan for 2009-2014 (2010), the main objective of the Local Government: Municipal Finance Management Act is to establish consistent rigorous management practices of the fiscal affairs of municipal entities through the establishment of standards to maintain transparency and accountability. Section 17(3) of the Act provides that municipal annual budgets must be accompanied by 'assessable performance objectives', taking into consideration the municipality IDP, whilst Section 53(1)(c) stipulates that

municipal Mayors are required to ensure that annual performance agreements are developed and linked to measurable performance objectives and “ratified with the municipality budget and budget implementation plan”. The same Act also obliges the Mayor, under Section 53(3)(a), to ensure that service delivery targets performance indicators for each quarter are publicised together with the performance reports and performance agreement for the municipal manager, senior managers and other senior officials. An analysis of the provisions of the Municipal Finance Management Act therefore clearly shows that it provides a progressive framework that is useful in nurturing PMS within municipalities.

3.2.6 The Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006

The Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006 provides for the monitoring and evaluation of the performance of municipal managers and managers directly accountable to municipal managers. The Regulations state that municipal managers should sign performance contracts and allow for the evaluation of their performance against set targets reflected in their performance agreements on an annual basis (Section 27 and Section 57). These Regulations support PMS frameworks within municipalities and improves the performance and productivity of municipal managers.

The legislation in South Africa guides and fosters for the implementation of PMS. However, in addition to legislation, municipalities are still required to use a Performance Management Cycle to guide their activities. The Performance Management Cycle is discussed in the next section.

3.3 PERFORMANCE MANAGEMENT CYCLE AND THE PERFORMANCE MANAGEMENT SYSTEM ELEMENTS

The central component of any PMS is the management of performance. “Getting better results from an institution, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements”, which is Armstrong’s (1995:429) definition of performance management, entails a process that includes a few stakeholders within an organisation. Thus, performance management in any organisation must be carried out

within a defined framework, thus following a set pattern with clearly timed events, processes and procedures.

A detailed definition of the performance management cycle is offered by Bologun (2009), who argues that the performance management cycle is “a series of regular and repeated events, activities or actions consisting of planning, monitoring, reporting and evaluation of employee performance using a set criterion. This criterion includes targets, indicators and time frames used to measure employee effectiveness and efficiency within an organisation (Bologun, 2009:15). Therefore, from Bologun’s (2009) definition, it can be deduced that a performance management cycle has the essential elements of a set of repeated and recurring activities guided by the legal framework.

Additionally, several scholars agree that a performance management cycle mainly consists of the following stages, namely planning, monitoring, evaluation, reporting and reviewing. The performance cycle is a continuous process, for example, the outcome of the performance review feeds back to the performance planning process. It is important to note that each of the stages in the PMS cycle of local government in South Africa is underpinned by council and community oversight (Aguinis, 2005; Bologun, 2009; Prasad, 2010; Redman, 2011).

The illustration in Figure 3.1 depicts a summary of the five main stages of the performance management cycle in organisations.

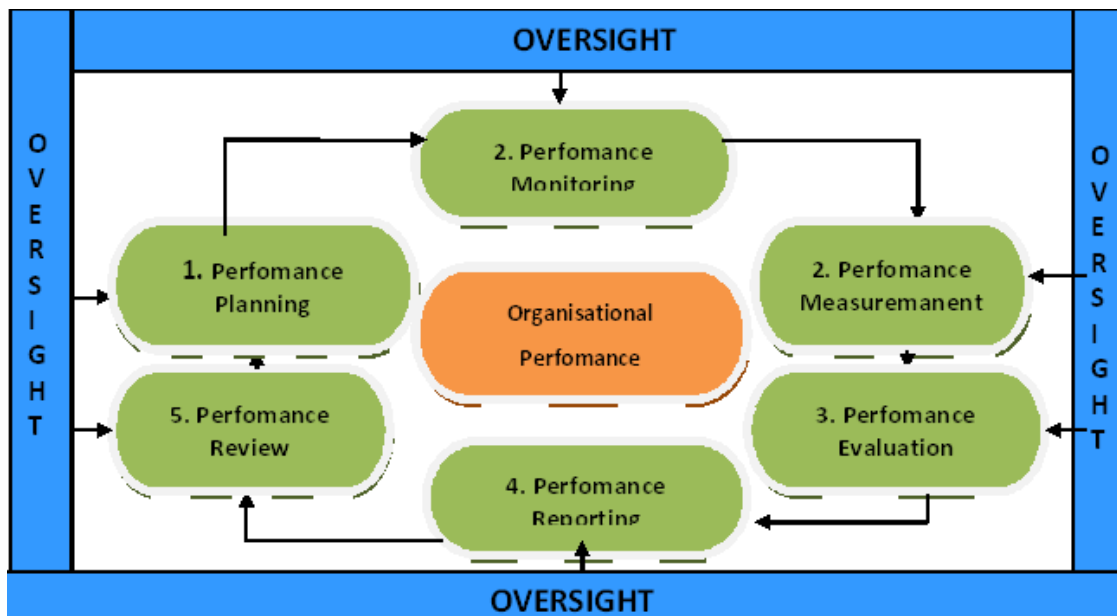


Figure 3.1: The performance management cycle

Source: Adapted from the Ray Nkonyeni Municipality (formerly known as Hibiscus Municipality PMS Framework), 2008.

3.3.1 Stage One: performance planning

The first stage of the performance management cycle involves performance planning. According to the United States Office of Personnel Management (2011:5), planning, within the context of performance management, means “setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organisational objectives”. The planning process is therefore a stage of the performance management cycle that should involve organisational employees at all levels. As argued by Redman (2011), all employees should be aware of their goals together with the mission and vision of the organisation for alignment purposes. This would assist all organisational employees to understand what they need to do, their personal expectations and the accepted methods to perform their job tasks.

It is at this employee engagement stage of performance planning that employees, working together with their respective managers develop their employee performance plans, performance agreements and performance contracts. Prasad (2010:19) refers to employee performance plans, performance agreements and performance contracts

as “written records, agreements or contracts with measurable, achievable and realistic performance elements. Employee performance plans must provide the key result areas, performance objectives, performance goals, performance standards, performance targets and expected outputs expected for each job within a set specific time-frame”. These performance plans and performance agreements can either be individual employee-focused or component focused. The performance planning process effectively determines the success of any PMS within organisations, as it lays the basis for the succeeding processes or stages within the performance management cycle (Hogwood, 2014). This is because the outcome of the performance planning process, that is the documents such as employee performance plans and employee performance agreements, are key reference documents used in the performance monitoring, performance evaluation; and performance review processes.

Potgieter (2009) recommends that performance planning should take into consideration the individual skills, knowledge and abilities that employees possess. This will ensure that the performance management process is fair and effective. Similarly, Lahman and Fresser (2001) argue that performance goals must be fair and achievable because they are critical in measuring employee performance. Lahman and Fresser (2001) advise that performance plans should be flexible so as to allow room for improvement.

3.3.2 Stage Two: performance measuring and monitoring

Performance measuring and monitoring is the second stage of the performance management cycle. It encompasses the monitoring and measuring of individual employee performance. As stated by Dickenham (2008:17), the process of performance measurement and monitoring involves “the organised collection, examination and the feed-back of information that is crucial in measuring the performance of employees in an organisation, so as to establish the progress they have attained, in order to achieve their performance targets”.

In order for the performance measurement and monitoring process to be effective, it should be a continuous action and continuous feedback must be provided to all employees. These two processes can be done quarterly, annually, or bi-annually, depending on organisational human resource policies. However, Harris (2010) notes

that it is crucial to ensure that the performance measurement and monitoring process is a transparent process which is inclusive. Amos *et al.* (2008), as well as Mathison and Vinja (2010), assert that the feedback process must be timely, be accompanied by immediate recognition, coaching and implementation of intervention measures that will assist in the improvement of performance and addressing the barriers to optimum performance correcting the factors affecting the performance of employees within an organisation.

3.3.3 Stage Three: performance evaluation

Performance evaluation constitutes the third stage of the performance management cycle. It involves the assessment of employee performance, suitability of key performance indicators, performance targets and overall organisational performance (eThekweni Municipality, 2008). Similarly, Thompson (2013:11) defines performance evaluation as “the formal system of evaluating job related behaviour outcomes with a view to determine the factors affecting the effective performance of an employee and how the factors maybe be addressed”. Thompson (2013) distinguishes between performance measurement and performance evaluation, based on scope and focus, asserting that performance measurement is narrow in scope, whilst performance evaluation is broader in both scope and focus.

The value of performance evaluation within a PMS framework is that it identifies areas in need of attention, such as training and development gaps, employee work attitude challenges, the environmental factors inhibiting employee performance and compensation matters (Moore, 1985). It is therefore important to ensure that an independent committee or officials conduct the performance evaluation process to reduce the likelihood of bias that may affect the credibility of the whole process (Munzhedzi, 2011).

Performance evaluation utilises different methods and techniques such as the 360 Degrees Feedback Method, the Balanced Scorecard Method, Rating Scales, Check Lists, Forced Choice and Distribution Method, Psychological Tests Method, Critical Incidents Method, Graphic Scales, Field Review Method, Cost Accounting Method, and the Comparative Evaluation Method (Armstrong,1995; Radnor & Barnes, 2007; Shaout & Yousif, 2014). An organisation’s performance evaluation methods should be

reliable, acceptable, feasible, defined and based on the organisational goals (Hogwood, 2014).

3.3.4 Stage Four: performance reporting

Performance reporting is a key stage that comprises the communicative aspect of performance management outcomes. This is founded on the principle of transparency and accountability. Performance reporting, according to Quinn (2013), refers to the formal verbal or written account of an employee's performance by the organisation. This means it is the outcome of an employee's assessment process detailing a feedback on performance. The provision of feedback to employees is very important because it plays a pivotal role in determining the rate or amount of financial remuneration or rewards, the decision to develop and take an employee through 'training and development', as well as other determined intervention mechanisms required to enhance employee performance in order to address under-performance (Lee & Son, 1998).

Potgieter (2009) posits that performance reporting is a critical activity, especially in the public sector, because the public sector is required to make performance reports accessible to all citizens. In South Africa, for instance, the enactment of several pieces of legislation has made it obligatory for municipalities to report their performance to citizens. The Access to Information Bill is one piece of legislation which mandates for the reports to be accessible by citizens. Other pieces of legislation are the Local Government: Municipal Systems Act (32 of 2000), the Local Government: Municipal Finance Management Act (56 of 2003), and the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006, are notable to the above assertion. The legislation has made it legally obligatory for municipalities to comprehensively report on the performance of their institutions to the citizens and other stakeholders. The provision for the performance reports of municipalities to be easily accessible by citizens is an essential principle of good governance and a practice of democracy.

Section 121(3)(c) of the Local Government: Municipal Finance Management Act (56 of 2003), and Section 46 of the Local Government: Municipal Systems Act of 2000 obliges municipalities to develop and implement performance audit systems, to

undertake annual performance audits, to produce reports there from, which are submitted to the Parliament and then made accessible to members of the public. This suggests that performance reporting plays a significant role to organisational employees, as well as to the stakeholders in an organisation (Prasad, 2010).

3.3.5 Stage Five: performance auditing and review

Performance auditing and review constitutes the last stage of the performance management cycle. The Rand Corporation (2009:1) defines performance auditing as “the drawing together of evidence to support judgments about the worth and value of activities made possible using public resources (money, authority, staff, etc.). It seeks to understand what difference a service, regulation, or other activity makes, at what cost, and who bears the costs and receives the benefits”. Thus, from the Rand Corporation’s (2009) definition, performance auditing examines the efficiency, effectiveness, cost-implications of employee organisational activities, *vis-à-vis* set objectives and targets.

Performance audits should not be confused with performance evaluation. The difference is that the former entails an independent review of the efficiency and administrative effectiveness of organisations or employees, whilst the latter relates to the assessment of employees or organisational effectiveness (McPhee, 2006). Performance reviews, on the other hand, refer to the assessment of the PMS within an organisation. It assesses the performance targets for individuals and departments, with the aim of identifying the strengths, weaknesses, opportunities and threats of the municipality in its pursuit of achieving the key performance targets. Furthermore, this stage also institutes identifying gaps in individuals, which need performance improvement and necessary adjustments (Lukhanji Municipality, 2013).

Performance audits need to be conducted by experienced and professional experts who may be in the form of an Audit Committee. These should also uphold the virtues of impartiality and experience, as these impact on the credibility, acceptability and authenticity of the performance audit reports (Quinn, 2013). In light of this, the Aganang Municipal Report (2014) recommends that an independent chairperson should lead a performance audit committee within municipalities, to ensure the independence of judgments. In this regard, performance audits assist in providing

objective and reliable information about organisational performance. This in turn adds value to the process and opens opportunities for learning, as well as operationalising accountability and transparency.

Overall, the processes that make up the performance management cycle should be carried out in an effective manner without any form of bias. The processes impact differently on the motivation of employees, intra-organisational, the inter-organisational relationships, achievement of organisational goals and objectives and employee development (Aguinis, 2005). Furthermore, Aguinis (2005) argues that if a PMS is poorly implemented, the risk is that employees' self-esteem is affected, some employees may be demotivated and quit, organisational resources may be wasted and relationships may be affected.

In addition to the definitions of PMS in the previous chapter, the discussion of the Performance Management Cycle in this chapter has helped to unravel the key elements which must make up the formation of coherent epitome PMS. The key elements of PMS highlighted by several authors, namely Moore (1985), Armstrong (1995), Curtis (1999), Aguinis (2005), Maila (2006) De Bruijn (2007), Amos *et al.* (2008), Munzhedzi (2011), Jessa (2012) and Paile (2012), include strategic congruence, thoroughness, practicality, meaningfulness, specificity, identification of effective and ineffective performance, reliability and validity, acceptability and fairness, inclusiveness, openness, correctability, standardisation and ethicality.

3.4 PERFORMANCE MANAGEMENT SYSTEM IN LOCAL GOVERNMENT: SERVICE DELIVERY

The hallmark of a Performance Management System is the improvement of local government service delivery (Department of Local Government, 2001). PMS is pivotal in the achievement of this objective, since it is a common strategy that service delivery by any organisation is hinged on.

In terms of Section 152 of the Constitution of the Republic of South Africa of 1996, the key functions of local government are the promotion of democratic and accountable local government and the provision of services to communities in a sustainable

manner. However, if the PMS of a local government organisation is not effectively implemented, the delivery of public services to communities would be hampered (Prasad, 2010; Gregory *et al.*, 2013). This means that it can only be through the development and implementation of an effective PMS that can lead to the achievement of efficient service delivery and satisfied citizens.

3.5 LINKING INTEGRATED DEVELOPMENT PLANNING, THE BUDGET AND PERFORMANCE MANAGEMENT SYSTEM

One of the most important imperatives for having a PMS framework within municipalities is to ensure that municipal managers and personnel at all levels are brought to account. The impact of municipal PMS frameworks is not confined to municipalities alone. In fact, its impact transcends beyond municipalities and has a bearing on the welfare of communities. The reason for this assertion is that the implementation of PMS ensures that municipal office holders continue working towards achieving the set targets and goals as per community expectations, so as to achieve citizen satisfaction in the delivery of services (Quinn, 2013). In South Africa, it is for this reason that PMS framework elements such as key performance indicators, performance targets, strategic goals and objectives of municipalities, are all aligned with the IDP (Van der Merwe, 2012).

The definition of an IDP, as presented under Section 35(1)(a) of the Local Government: Municipal Systems Act (32 of 2000), is that it is “the principal strategic planning instrument which guides and informs all planning and development, and all decisions with regards to planning, management and development, in the municipality”. IDPs have a life span of five years and are meant for strategic development and contain the strategic development objectives of municipalities, as well as key performance indicators, which are linked to the municipalities’ PMS.

The Local Government: Municipal Systems Act (32 of 2000) and the Local Government: Municipal Finance Management Act (56 of 2003), as discussed earlier, provide the requirement that IDPs in municipalities be aligned with municipal budgets and that budget performance be monitored against the IDPs (eThekweni Municipality, 2008). Therefore, the success of IDPs in municipalities is unavoidably tied to the effectiveness of the municipalities’ PMS frameworks.

The Local Government Municipal Systems Act further stipulates that all municipalities are required to develop IDPs in a participatory manner that involves the local communities. It is through such a participatory process that municipalities and community residents collectively identify their development priorities, formulate their goals, develop their systems and align available resources with collectively identified priorities (Multi-level Government Initiative, 2012).

The articulation of the linkage between PMS and an IDP is important because it makes a comparison of the objectives of PMS with those of IDPs. The objectives of PMS in municipalities is to support municipal oversight, enhance productivity through facilitating continuous learning, continuous improvement, ensure accountability, ensure transparency, identify performance risks and make timely interventions (eThekweni Municipality, 2008; Umtshezi Municipality, 2011). The Westonaria Local Municipality (2010:10) notes that “the IDP sets clear development objectives and targets and provides direction to improve performance. It sets key performance indicators (KPI’s) and the criteria for measuring performance both for the overall IDP, and for specific projects. As such, it enables management to align actions with set objectives”. An analysis of the objectives of PMS and IDPs leads to the deduction that PMS feeds into the IDP and both revolve around improving community service delivery, enhancing transparency, enhancing accountability in local government, with the ultimate objective being to raise community welfare and access to better services.

The linkage between PMS and IDPs is provided under Section 26(a)(i) of the Local Government: Municipal Systems Act (32 of 2000) which outlines the IDP as one of its core components. It states that the IDP must reflect the key performance indicators and performance targets. This means that PMS is at the centre of IDPs. Furthermore, PMS processes of performance measurement are part of the IDP review process. This is provided for under Section 34 of the Local Government: Municipal Systems Act (32 of 2000) which states that “a municipal council must review the IDP annually in accordance with an assessment of its performance measure”. If one looks into the local government legal frameworks, one would assert that the municipal PMS frameworks are inextricably linked with IDPs such that “the performance municipalities are measured and managed against the progress made in achieving the strategic objectives set out in the IDP of the municipality” (Umtshezi Municipality, 2011).

Over and above, the linkage of PMS to IDPs provided by the Local Government: Municipal Systems Act, Section 57 of the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006, also link the individual performance of municipal managers with the strategic objectives and operations of the municipalities as articulated in IDPs. As argued by Naidoo (2011), the effective and efficient PMS frameworks in municipalities play a pivotal role in the successful execution of IDPs.

3.6 THE PERFORMANCE MANAGEMENT SYSTEM OF UMDONI MUNICIPALITY

The integration of the municipal budget, IDP and PMS is very important for the present study, because it is the basis on which the PMS of the Umdoni Municipality was developed and is dependent upon. The IDP review like the budget and PMS, which are both regulated by the Local Government Municipal Systems Act of 2000, is a year-long plan. The integration of the IDP, budget and PMS was put on the premise of a simple scholarly and rational understanding of input and output, which is synonymous to a model for the maximisation of efficiency. If the IDP is not aligned with the budget and if the two are not monitored, there will be less favourable results. The purpose of the PMS is to monitor the IDP and the budget.

The PMS of the Umdoni Municipality is a year-long project with various sequences of actions. In a PMS model, each month of the year has specific activities dedicated for it. These specific activities are briefly described below. However, it is important to note that there are some activities which may overlap to two or more months. The key objectives of the PMS are to help monitor, assess and improve the IDP and the budget (Umdoni Municipality Annual Report, 2014).

The Umdoni Municipality Annual Report (2014) shows that in the month of January and February, the Mayor of Umdoni must table the annual municipal report for the previous year, as advised by Section 127 of Municipal Finance Management Act. The community conducts an input exercise to advise the report (which is advised by Local Government Municipal Systems Act Section 21a). Note these two activities extend to the month of February. The annual report is submitted to the Auditor General,

Provincial Treasury and lastly, a half-year performance report for the current year is prepared (note this activity is only exclusive to the month of January).

In March and April, the performance objectives for revenue for each budget vote are set, as directed by the Municipal Finance Management Act (Section 17 and 132). The Council then considers and adopts an oversight report on the annual report and the minutes of the meeting are sent to the office of the Auditor-General and the Provincial Treasury in the Province of KwaZulu-Natal and CoGTA (Umdoni Municipality Annual Report, 2014).

In May, an annual review of organisational KPI's is conducted, the organisational KPI's affected by the IDP review process are reviewed and the annual organisation targets are set and reviewed (Umdoni Municipality Annual Report, 2014).

In June, the community is invited to input into the organisational KPIs and targets (as of the Local Government Municipal Systems Act Section 42), the budget for the expenses of the audit committee is set and the reports are sent to the Council and Member of the Executive Council (MEC) to sign off the annual performance agreements (Umdoni Municipality Annual Report, 2014).

In July, the draft performance agreements are submitted to the Mayor in terms of Section 69 of the Municipal Finance Management Act, the organisational KPIs and targets, service delivery targets and performance indicators and performance agreements of managers, are publicised in line with the Local Government Municipal Systems Act, Section 44 and Municipal Finance Management Act, Section 53 (Umdoni Municipality Annual Report, 2014).

In August, the PMS of Umdoni is reviewed by the Audit Committee, the Council and the Executive Committee embarks on a decision-making process regarding the payment of bonuses and lastly the annual review of the municipality performance is conducted (Umdoni Municipality Annual Report, 2014).

In September, the Annual review of the municipal PMS is conducted (as of the Local Government Municipal Systems Act, Section 40). The Audit General embarks on a

process of auditing the performance measures of the municipality (as required by Section 40 of the Municipal Systems Act (Umdoni Municipality Annual Report, 2014).

The month of October and November are characterised by two activities, namely the annual appointment of the Audit Committee and the Chairperson of the Audit Committee (Umdoni Municipality Annual Report, 2014).

The month of December is characterised by the assessment of the Umdoni Municipality's performance against performance objectives for revenue and votes (in line with the Municipal Finance Management Act, Section 121) (Umdoni Municipality Annual Report, 2014).

3.7 CONCLUSION

This chapter has highlighted that in the South African municipalities, legislation underpins the PMS. This means that the development and implementation of PMS is a legal obligation for municipalities. It is guided by, among other legal frameworks, the Local Government: Municipal Systems Act, the Municipal Finance Management Act, and the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers of 2006. This has improved service delivery, enhanced accountability and transparency, while also allowing for a participatory process in the implementation of PMS frameworks. A discussion of the Performance Management Cycle was undertaken and the key elements of an ideal PMS were derived from the discussion of the Performance Management Cycle, as well as the discussion of PMS in Chapter 2. This chapter has revealed that PMS is closely linked to the IDP of each specific municipality, which has the resultant impact of facilitating the pursuit of prioritised development needs and allowing for complementarity between the two. Both PMS and IDPs direct efforts towards the improvement of local government service delivery. Lastly, the chapter showed the activities which are involved in the PMS process of the Umdoni Municipality. The next chapter presents the research methodology.

CHAPTER FOUR

4 RESEARCH METHODOLOGY AND DESIGN

4.1 INTRODUCTION

The preceding chapter discussed the legislative framework which underpins the institutionalisation of PMS in South Africa. This chapter identifies and discusses the methodology used to obtain data and to draw conclusions on the adherence to PMS by the Refuse Collection Unit of the Umdoni Municipality. It also outlays the research design.

4.2 RESEARCH DESIGN

Creswell (2011) states that a research design is a specific way in which the researcher chooses to create, collect, analyse and interpret data. Similarly, Adam and Cox (2008) assert that a research design outlines the strategy, arrangement and scheme of investigation used to obtain answers to research questions or research objectives. Thus, it is important for a researcher to choose an appropriate research design for a study. The research design must be developed in a manner that directly applies to the research objectives and to provide answers to the research questions (Creswell, 2009).

Collis and Hussey (2003) define a research design as an outline for all the procedures. The product produced by a research design is a proposal for conducting the envisioned research (Babbie & Mouton, 2009). This proposal is then used to guide the data collection and analysis of the study. According to Wiid and Diggins (2010), the research design must be comprehensive enough to adequately address the research questions of the study.

The purpose of the study was to determine if Umdoni Municipality Solid Waste Management Division adheres to PMS. Hence, the study employed the descriptive

research design, as it seeks to investigate the adherence to PMS by the Refuse Collection unit of the Umdoni Municipality.

4.3 RESEARCH APPROACHES

There are three main types of methods used in research. These are qualitative, quantitative and the mixed research methodology (Creswell *et al.*, 2011).

Qualitative research methodology is an explorative oriented research technique which is used to explore reasons, opinions, feelings, attitudes and the experiences of research participants. The strength of this method is that it allows the researcher to possess a comprehensive knowledge of the phenomenon at hand (Kirk & Miller, 1989; Leedy & Ormarod, 2005; Sapsford & Jupp, 2006).

The quantitative research method, on the other hand, is a technique used to describe, explore and explain a phenomenon by collecting numerical data that would be analysed using numerical calculations (in particular, statistics). It is used to quantify opinions, behaviours, attitudes and other defined variables. The strength of the quantitative approach is that it can test the relationship between variables, for example, to examine the cause-and-effect of one variable on another. Furthermore, quantitative data are used to formulate facts and uncover patterns in research.

In contrast to the qualitative research method, the quantitative data collection method is a more structured process. Examples of quantitative data collection methods are surveys, which come in different forms, such as face-to-face interviews, telephone interviews, online and paper surveys (Denscombe, 2006; Babbie, 2011).

The mixed research approach is a methodology that combines both qualitative and quantitative methods of research. This study used the quantitative research method because this method is deemed appropriate, as the study aims to establish the extent of the current application of PMS principles in Umdoni Municipality. The study employed the case study approach. Stewart and Gable (1999) assert that the case study approach is the most appropriate research method for the understanding of organisational phenomena. In this context, the study focused on the Umdoni

Municipality, specifically the Solid Waste Management Division. The location is situated approximately 50 km from Durban, 65km from Port Shepstone and 40 km east of the Indian Ocean coastline (Ngwabi, 2003; Zulu, 2006; Govender, 2011).

4.4 RESEARCH PHILOSOPHY

Gray (2013) asserts that a research study must be underpinned by a philosophy which relates to beliefs and assumptions about what constitutes a valid research. There are two main research paradigms: the positivistic and the phenomenological philosophy (Keele, 2011).

The principle for a positivistic philosophy is that reality exists external to the researcher and must be examined through the rigorous process of scientific inquiry (Gray, 2013). This paradigm strives to detect the facts and causes of a phenomenon, with little regard to the subjective state of individuals (Collis & Hussey, 2003). In contrast, the premise for phenomenological philosophy is that an essential aspect to creating truth and meaning is the interaction that the subject has with the world (Gray, 2013). Thus, a phenomenological philosophy is concerned with understanding human behaviour from the participants' own frame of reference (Collis & Hussey, 2003).

This research study was conducted from a phenomenological philosophy, with the aim of exploring and understanding the lived experiences and insights of participants in relation to the performance management practices in their workplace. Epistemologically, phenomenological approaches are based on a philosophy of personal knowledge, subjectivity, emphasise the importance of personal perspective and interpretation (Collis & Hussey, 2003).

4.5 TARGET POPULATION AND SAMPLING STRATEGIES

According to Denscombe (1983) and Babbie (2011), sampling is a method of selecting research participants or units of study so that, by studying the chosen sample, the researcher may generalise the results of the sample to reflect the results or the character of the entire population of the research participants or units of study. The population for this study comprised 456 employees, inclusive of managers and senior managers, department managers, assistant directors, general managers, as well the

lower level employees of the municipality. In addition, Umdoni consists of 19 councillors, inclusive of the Mayor, the Deputy Mayor, the Speaker and other Councillors.

According to Bryman (2008), not all members of the population necessarily formed part of the target population for the study. This means that the eligibility criteria of the study had to be defined for specifying what was required to select a sample from the population. For example, employees occupying management positions and managers involved in ensuring the implementation of PMS needed to be part of the sample, while those not involved in PMS were excluded. This was because a phenomenological quantitative research like this study emphasises reliance on experience, insights and inter-subjectivity of parties involved with the research (Babbie, 2012). Therefore, the sampling approach for this study needed special attention.

Sampling refers to a procedure of choosing the number of participants in the study from a population using a specific sampling method (Babbie & Mouton, 2009). There are two types of sampling methods, namely the probability and non-probability sampling methods. Probability sampling methods are based on statistical probability theory and are associated with numerical calculations (Creswell *et al.*, 2011; Brick, 2011).

The concept of probability sampling is mostly used to obtain a sample that is representative of every portion of the population. On the contrary, non-probability sampling methods are founded on the subjective judgment of the researcher and selection probability of population elements is unascertainable (Brick, 2011). According to Brick (2011), non-probability sampling does not allow for generalisation outside the group of sample units and can only be evaluated subjectively. In order to make generalisations from the sample to the population under study, probability sampling techniques were used for this study.

There are various probability-sampling techniques available, with the most common being, simple random, systematic sampling, stratified sampling and cluster sampling (Babbie & Mouton, 2009). The following table (Table 4.1) provides a comparison of the various techniques that fall under the probability techniques, which were selected

for the study. Specifically, the cluster-sampling technique was employed to select 115 employees who participated in the study, as it provides an unbiased estimate of population parameters, and economically, the technique is more efficient than most of the techniques that fall under the probability technique.

Table 4-1: A comparative summary of various types of sampling

Type	Description	Advantages	Disadvantages
Simple random	Each population element has an equal chance of being selected into the sample. Sample drawn using random number table/ generator.	Easy to implement with automatic dialling (random digit dialling) and with computerised voice response systems.	Requires a listing of population elements. Takes more time to implement. Uses larger sample sizes. Produces larger errors. Expensive.
Systematic	Selects an element of the population at a beginning with a random start and following the sampling fraction selects every k th element.	Simple to design. Easier to use than the simple random. Easy to determine sampling distribution of mean or proportion. Less expensive than simple random.	Periodicity within the population may skew the sample and results. If the population list has a monotonic trend, a biased estimate will result based on the start point.
Stratified	Divide population into sub-populations or strata and use simple random sample on each stratum. Results may be weighted and combined.	Researcher controls sample size in strata. Increased statistical efficiency. Provides data to represent and analyse sub-groups. Enables use of different methods in strata.	Increased error will result if sub-groups are selected at different rates. Expensive. Especially expensive if strata on the population have to be created.
Cluster	Population is divided into internally heterogeneous sub-groups. Some are randomly selected for further study.	Provides an unbiased estimate of population parameters if properly done. Economically more efficient than simple random.	Often lower statistical efficiency (more error) due to sub-groups being homogenous rather than heterogeneous.

		Lowest cost per sample, especially with geographic clusters. Easy to do without a population list.	
--	--	---	--

Source: Cooper and Schindler (2000:243)

4.6 DATA COLLECTION METHODS

The questionnaire and the interview are the two most commonly used primary data collection methods in research. These two methods are efficient in allowing the researcher to put questions to subject's enquiry process. However, the two instruments have distinct features; the questionnaire is most widely used in surveys with descriptive or exploratory purposes, while the questionnaires can be effectively used in studies with experimental and case study research strategies (Creswell *et al.*, 2011). Babbie (2012:89) states that it is important for the researcher to assess the appropriateness of each data collection method so as to choose the best for the particular study.

4.6.1 Questionnaire

Saunders *et al.* (2009:360) state that a questionnaire is a data collection instrument that contains a set of well-organised questions on a topic designed to elicit the information that will provide insights on a topic from the respondents. Questionnaires come in three different formats, thus, structured, unstructured or semi-structured.

4.6.2 Interviews

An interview is a fixated communication between two or more people in which the interviewer poses oral questions to the interviewee to obtain a response. The success of this data collection method is dependent on the interview techniques and the skills of the researcher to motivate respondents to give honest impressions and responses (Creswell *et al.*, 2011).

4.6.3 Observation

This technique involves a methodical process of acquiring knowledge on the behavioural patterns by watching people, objects or an occurrence (Remenyi *et al.*,

1998:110). Creswell (2009:189) adds that observation involves listening, reading, smelling, touching. This means that observation is solely based on monitoring behaviour.

This study adopted the questionnaire technique as a data collection tool. A structured questionnaire was designed as presented in Appendix B. According to Cooper *et al.* (2009:249), the questionnaire technique is the most economical option, allows for rapid data collection and it is commonly perceived as more anonymous than other methods. However, Saunders *et al.* (2009:361) caution that there is a challenge to develop a good questionnaire that can collect the required data to answer the research question and achieve the set objectives. Hence, the conduction of a pilot study is advisable so as to test the validity of a questionnaire.

4.7 QUESTIONNAIRE CONSTRUCTION

The questionnaire of this study was constructed by references from the relevant literature in Chapter Two and it was aligned with the objectives of the study. The questionnaire was presented in a Likert scale format, with respondents asked to indicate their level of agreement. Creswell (2009) postulates that the advantage of using the Likert scale is that it is quick to construct and easy to use. The Likert scale is also more reliable and can gather more data than any other data collection tool.

Thus, the questionnaire was divided into five sections as follows:

- Section A: Biographical Information
- Section B: assessment of the alignment of the PMS of the Umdoni Municipality with the organisational strategy.
- Section C: assessment of the current application of the PMS principles at the Umdoni Municipality.
- Section D: evaluation of the personal opinions of employees regarding the benefits of the use of PMS at the Umdoni Municipality.
- Section E: determination of the factors hindering the effective application of PMS at the Umdoni Municipality.

The questionnaire was designed with the aim of achieving four objectives. Sections, B, C, D and E focused on the main objectives of the study. In these four sections, the study respondents were asked to use a 5-point scale to indicate how they feel by

making a cross in one of the blocks provided next to each statement, as illustrated in Table 4-2.

A scale is defined as a measuring device for the correct quantification of variables. Scales help a researcher to summarise research indicators in a single numerical score and are used to assign scores to patterns of responses, identifying that some items reflect a relatively weak degree of the variable, while others reflect a greater degree (Babbie, 2010; Alwin & Krosnick, 1991; Alwin, 1992; Bishop, 1990; Adam *et al.*, 2007).

The five-point scale was in the form of a Five Response Categories which were assigned scores of 1 to 5. Therefore, 1 represents “Strongly disagree”; 2 represents “Disagree”; 3 represents “Neutral”; 4 representing “Agree”; and 5 representing “Strongly agree”. For example, a score of 5 and 4 represent positive connotations; score 3 represents a neutral connotation and scores 2 and 1 represent negative connotations.

For example, Table 4-2 illustrates the representation of the scaling code of the survey questionnaire. A score of 3 indicates that the respondent feels that the statement is “slightly true”, while 5 indicates that the respondent feels that the statement is “absolutely true”. The questionnaire instructed the respondents to mark their answer by way of a cross (x). It reads:

“PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK”

Table 4-2: Representation of the scale code

Strongly Disagree	Disagree	Neutral	Agree	Strongly agree
1	2	3	4	5

The scale codes are explained below in Table 4-3.

Table 4-3: Scale codes description

Scale Code	Scale Description
1 Negative	<u>Strongly Disagree</u> . Indicates that the respondent regards the item as very untrue
2 Negative	<u>Disagree</u> . Indicates that the respondent regards the item as untrue
3 Neutral	<u>Neutral</u> . Indicates that the respondent is undecided
4 Positive	<u>Agree</u> . Indicates that the respondent regards the item as true
5 Positive	<u>Strongly Disagree</u> . Indicates that the respondent regards the item as very true

4.8 DATA QUALITY CONTROL

Creswell (2009) asserts that a research methodology must be scientific, which means that the research findings of the study must be replicable at any other time or by any other researcher, if the same methodology is used. In addition, Creswell (2009) also asserts that a research has consistency which means that the research methodology must be standard in every step of the research process.

Babbie (2009) argues that a research design must be able to address reliability and validity. Reliability means that the research methodology must be scientific and consistent. Validity means that the research methodology must be able to measure the planned objectives and phenomenon. Hence, the value of the findings of the proposed study rests with the credibility of its findings and their applicability to other contexts. According to Strauss (2008), the reliability and the validity of studies are integral for the interpretation of empirical evidence.

Reliability and validity in the study were mainly ensured through careful moderation of the interviews, the coding and interpretation of the questionnaires. This study applied several processes during data collection such as the adherence to ethical procedures,

data analysis and presentation of findings according to the approved analytical framework in this proposal.

4.9 PILOT STUDY

According to Saunders *et al.* (2007:386), a pilot study aims at refining the questionnaire before a full study is underway. Bryman and Bell (2007) highlight the purpose of a pilot study as to check on whether the questions are clear to the audience, how long it takes to complete the questionnaire, checking ambiguities and repetition of statements. The researcher selected ten participants from the target population and these participated in the pilot study. The pilot study on the completion of the questionnaire took more the expected time (30 minutes). The questions were then reduced from 35 to 25, without necessarily undermining the validity of the instrument. A total of four question items were double barrelled, making it difficult for participants to select their preferred response through a tick. The double- barrelled questions were then paraphrased to capture one aspect. There were other questions which were also repeated, thus all repetitions were eliminated. Question 14 was completely removed from the list of question items, as it was duplicating question 5, thus, 24 question items finally formed part of the questionnaire.

4.10 DATA ANALYSIS

Data analysis is the systematic application of statistical and logical tools to describe, illustrate and evaluate data, according to Shamo and Resnik (2003). It involves the examination of information through methods that reveal patterns, relationships and trends. Information is subjected to statistical operations that can help the researcher to explore the kinds of relationships that exist among variables. In this study, the researcher collected all the completed questionnaires and used a computer data processing software/company. The data were captured using the Statistical Package for the Social Sciences (SPSS), a computer software for statistical processing and analysis. The SPSS software is efficient in analysing frequencies, correlation matrices and multiple relapse analysis (Levesque, 2007). The data from the completed questionnaire from respondents were coded. The results from the questionnaire survey were analysed to conclude the application, opinions and attitudes regarding the adherence to PMS in Umdoni Municipality.

4.11 ETHICAL CONSIDERATIONS

Since ethics in research are critically important, the researcher sought permission in writing from the Municipal Manager of Umdoni Municipality, before conducting the research. The researcher requested permission to carry out this study from gatekeeping authorities of Umdoni Municipality through a letter setting out the objectives of the study. Moreover, the code of ethics of Umdoni Municipality was adhered to in conducting the study. Additionally, the empirical process for this study followed the guidelines for research as stipulated by the University of KwaZulu-Natal Higher Degrees Committee of the College of Law and Management Studies.

Furthermore, to ensure participants' confidentiality and privacy; the respondents were informed about the study before taking part in it. The respondents were informed about the nature and purpose of the research study. They were also informed that participation was voluntary and that they could withdraw from participation at any stage during their participation. A copy of the informed consent form for this study was attached to each questionnaire. They were asked to sign the consent form for participating in the study and a letter of confirmation of confidentiality of the information was given to them.

4.12 CONCLUSION

This chapter discussed the research methodology used for the study. It also dealt with the research, which was in the form of a quantitative study and a structured research questionnaire survey was used as the data collection instrument. In addition, the analysis of the study data was performed using the SPSS software. Chapter five presents the findings of the research and a discussion of the research findings.

CHAPTER FIVE

5 PRESENTATION AND ANALYSIS OF FINDINGS

5.1 INTRODUCTION

The previous chapter outlined the research approach, research design and research process followed in conducting the study. This chapter presents the data collected as explained in Chapter 3 and proceeds to analyse the data, ultimately documenting the findings under each objective of the study in line with the subsequent questionnaire items. The main aim of the study was to assess if Umdoni Municipality's Solid Waste Management Division adhered to the performance management framework. This chapter is guided by four objectives, which sought to assess the alignment of the PMS with the organisational strategy, assess application of the PMS principles, evaluate personal opinions of employees regarding the benefits of the use of PMS and determine the factors that could hinder the effective application of PMS at the Umdoni Municipality.

5.2 RESPONSE RATE

The questionnaires were distributed to all the 115 members selected for the study and out of those, a total of 110 were successfully completed and returned, giving a response rate of 95.65%. According to Saunders *et al.* (2007) an appropriate and sufficient response rate for a research study must be greater than 50%. The study had a 95.65% response rate, which was significantly greater than 50%. This makes the response rate of the study excellent.

The respondents were from the two portfolios of Umdoni Municipality, namely the political leadership and administrative management. The political leadership comprised the Mayor, the Deputy Mayor, the Speaker and one portfolio committee member, who is the chairperson of the committee dealing with Solid Waste Management, while the administrative management comprised four respondents from the top management of the municipality: the Municipal Manager, the Chief Financial Officer and the two Heads of Departments (HODs). In addition, four respondents were

from the middle management, who comprised two supervisors and two managers directly responsible for Umdoni Solid Waste Management Division and 103 were operational staff members who worked at the Solid Waste Management Division at Umdoni Municipality.

5.3 BIOGRAPHICAL SUMMARY

This section presents participant biographical information under various divisions of biographical identity, that is gender, level of education and period of work experience. Details of the data collected are presented in sections 5.3.1 to 5.3.3 below.

5.3.1 Gender

This section presents data on participant gender.

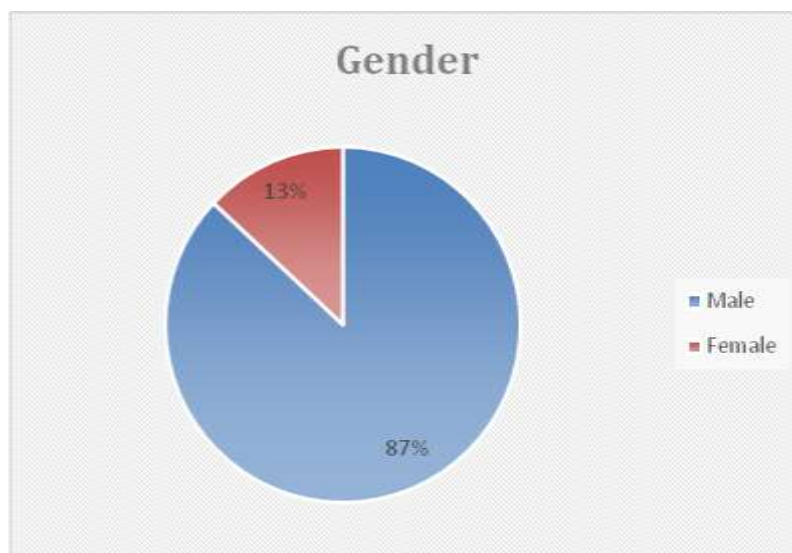


Figure 5.1: Gender of participants

Figure 5.1 shows that 87% of the participants were males, while 13% were females. This was expected, as the study was located at the Waste Management Division where most of the work activities suits a masculine environment, thus, more males made up the study population. The nature of work in the Solid Waste Management Division includes lifting waste bins and riding on the back of the waste management vehicles, an environment suitable for males.

5.3.2 Level of education

This section reports on participants' level of education.

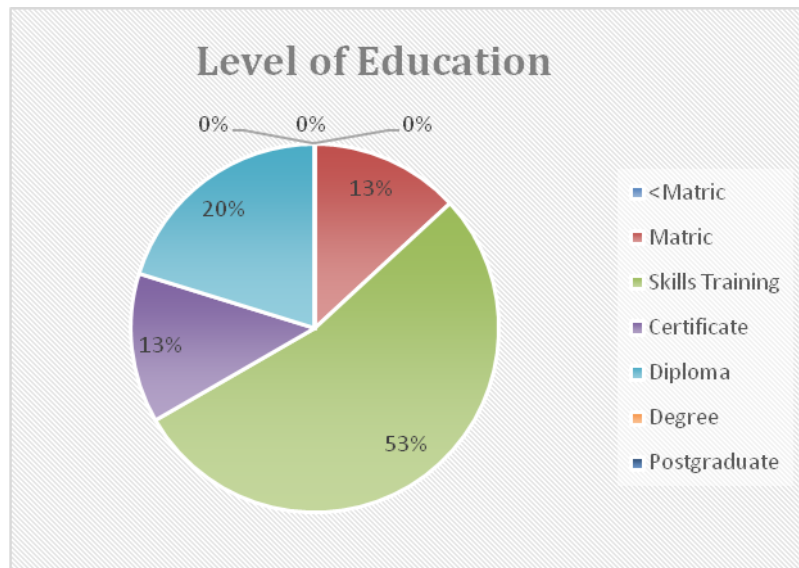


Figure 5.2: Participants' level of education

Error! Reference source not found. indicates that the Solid Waste Management Division had an adequately educated workforce, with 53% of the respondents having been trained and skilled, 20% possessed a diploma qualification, while an equal percentage of 13% had matric level of education and a certificate qualification. It is important to note that the high educational qualifications are a bonus in the Waste Management Division, particularly refuse collection and management. However, it is necessary for the majority of workforce to have sufficient education and skills, which was met by predominantly every member of the workforce.

5.3.3 Work experience

This section reports on the participants' experience in relation to the waste management within municipalities. **Error! Reference source not found.** shows that overall, 47% of the participants worked for a period between 5-10 years, followed by 33% who worked for a period between 10 - 15 years. A total of 13% worked for period between 3 - 5 years, while 7% had 15 years worked and no respondent indicated possessing less than 3-year experience, suggesting that the waste management division employed people who were sufficiently experienced.

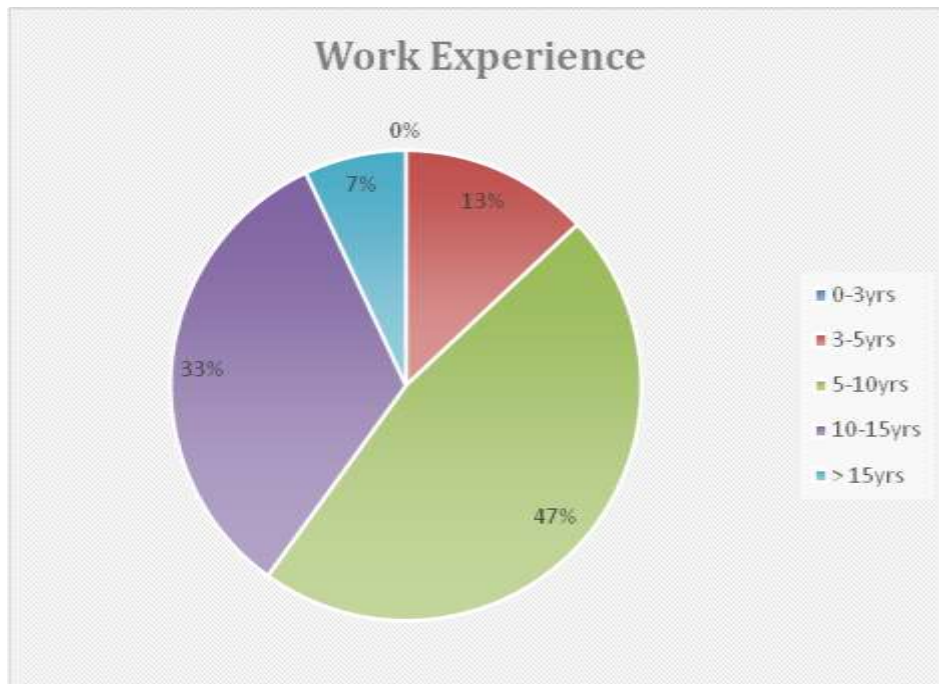


Figure 5.3: Participants' experience

5.4 FINDINGS BASED ON OBJECTIVE ONE: ALIGNMENT OF THE PMS OF THE UMDONI MUNICIPALITY WITH THE ORGANISATIONAL STRATEGY

The objective aimed at assessing if Umdoni Waste Management's PMS was aligned with organisational strategy. Five questions were developed to address the objective, followed by an analysis of the results as presented in Figures 5.6 to 5.10, respectively.

5.4.1 The municipality has a performance management system, which is guided by its vision

This question sought to assess whether Umdoni Waste Management Division was guided by its vision in line with Armstrong (2009), who emphasised that the success of PMS in an organisation largely depends on the alignment of the PMS with an organisation's vision. The data findings are presented below.

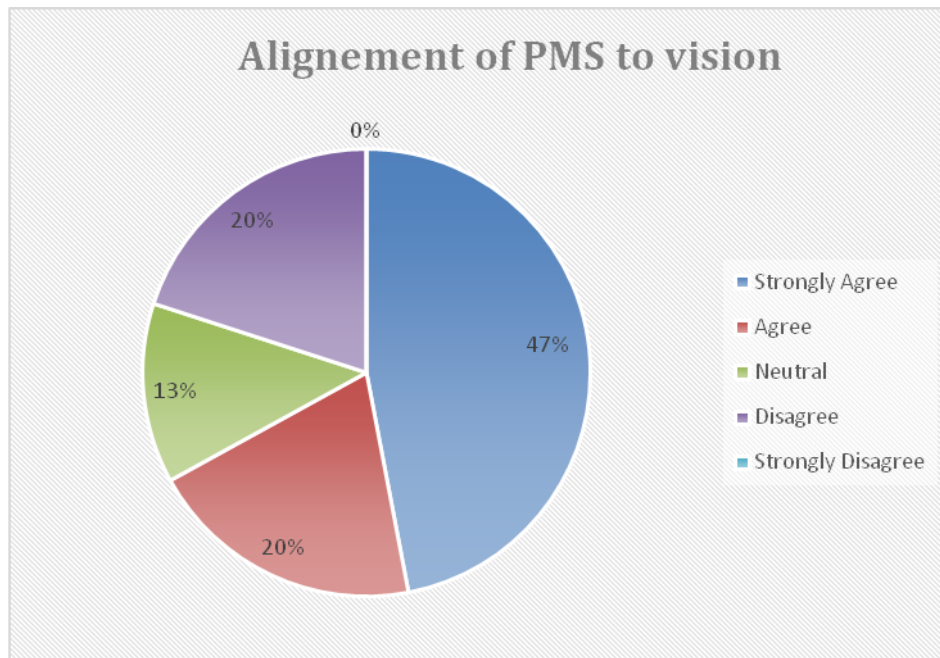


Figure 5.4: Alignment of performance management system with vision

Figure 5.4 shows that a total of 67% of the participants agreed to the statement that the vision guided the performance management system, while 20% disagreed to the statement and 13% had a neutral position. Overall, the findings indicate that the participants perceive Umdoni PMS as being guided by the organisational vision. A study by Armstrong (2009), which investigated the challenges facing PMS implementation in the public sector, found that the successful PMS implementation was anchored on the alignment of the PMS with a core-created vision. In a similar vein, a study by Henning and Sterling (2012) revealed that the effectiveness of PMS depended on how precise the PMS is guided by the vision of the organisation.

5.4.2 Targets of Umdoni municipality are aligned with the municipal organisational goals

The second question of the study sought to assess if targets of Umdoni Municipality were aligned to the municipal organisational goals. According to Henning and Sterling (2012), it is critical for an organisation to set targets that are linked or aligned with the overall goals of the organisation. The data gathered to address question two of the study are presented below in Figure 5.5.

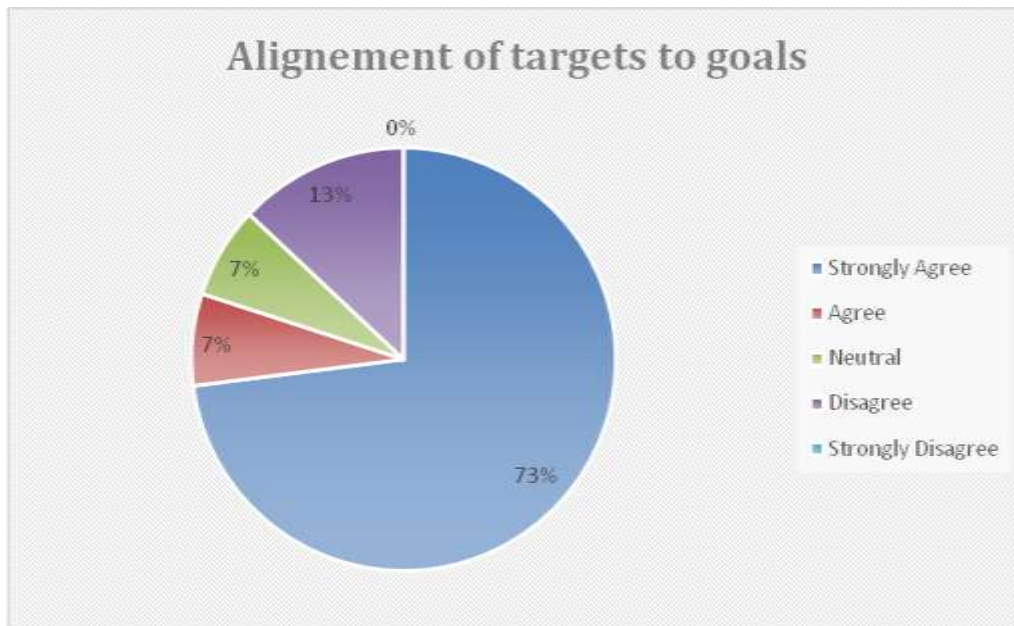


Figure 5.5: Alignment of municipal targets with organisational goal

Figure 5.5 shows that a total of 80% (73% and 7%) agreed to the statement that the targets of Umdoni Municipality were aligned with the municipal organisational goals, while 13% disagreed and 7% had a neutral response. The findings under this question are supported by the legislation statutes, which emphasise the linkage between PMS and IDPs. For example, Section 26(a)(i) of the Local Government Municipal Systems Act (32 of 2000), which outlines that an IDP, as one of its core components, “must reflect the key performance indicators and performance targets”. This indicates that PMS is aligned with IDP of Umdoni Municipality.

5.4.3 Performance targets are informed by the integrated development plan and the service delivery, as well as the budget implementation plan of the municipality

This question aimed at assessing if performance targets at Umdoni municipality were informed by the IDP and the service delivery, as well as the budget implementation plan of the municipality. Henning and Sterling (2012) argue that if performance targets are not informed by the IDP, employees will fail to achieve the intended goals of a municipality. The data gathered to answer this question are presented in Figure 5.6.

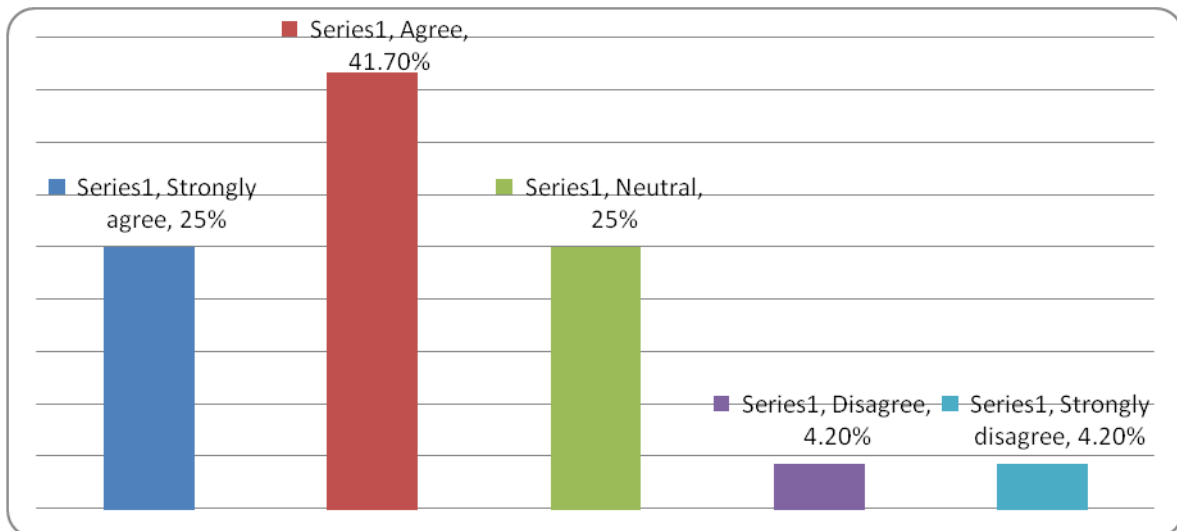


Figure 5.6: Integrated Development Plan informs performance targets

Figure 5.6 shows that most of the participants in the study agreed that performance targets were informed by IDP, as 66.7% (4.70 + 25%) agreed to the statement, while 25% gave a neutral response, with 8.40% disagreeing to the statement.

The finding is in line with the Local Government: Municipal Systems Act (32 of 2000) and the Municipal Finance Management Act (56 of 2003), which provide the requirement that municipal performance targets should be informed by IDPs (eThekweni Municipality, 2008). Therefore, the achievement of performance targets in municipalities is unavoidably tied to the effectiveness of the municipalities' PMS frameworks.

5.4.4 Does reaching targets form part of Umdoni culture?

Based on the study, it was necessary to establish if reaching targets was part of the Umdoni culture.

Figure 5.7 shows that the majority of the participants agreed (80% (53% + 27%) with the statement that reaching targets was part of the Umdoni culture, while 13% disagreed and 7% gave a neutral response. Prasad (2010) argues that municipalities ought to inculcate a culture of achieving or reaching their targets, if they are to deliver the services to the communities efficiently.

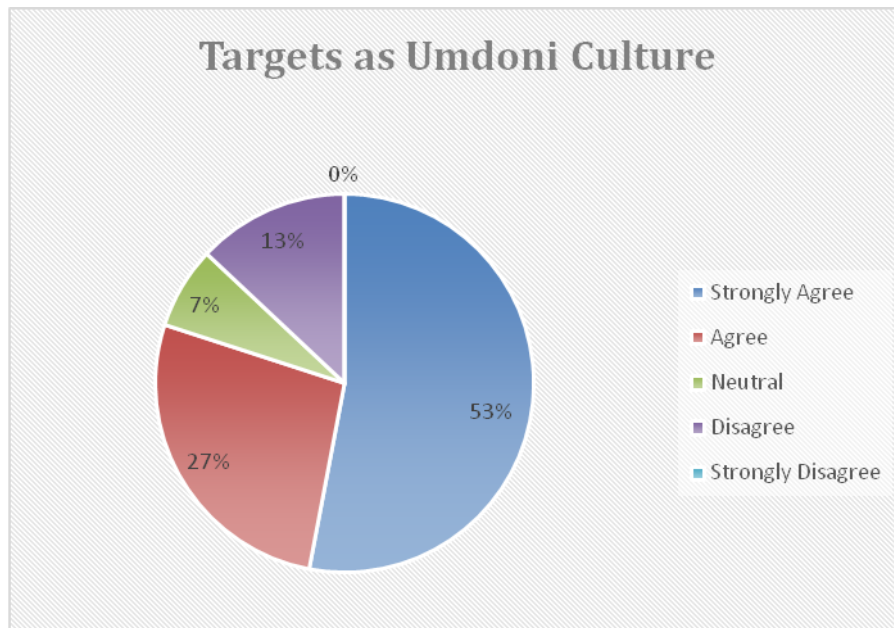


Figure 5.7: Reaching targets forms part of the Umdoni culture

5.4.5 Continuous training and development is a norm at Umdoni municipality

This question sought to assess if Umdoni had a culture of continuous learning.

Figure 5.8 shows that the majority of the participants 63.9% (39.5% + 24.4%) disagreed with the statement that continuous training and development was a norm at Umdoni municipality, while 22.1% agreed with the statement, with 14.0% giving a neutral position.

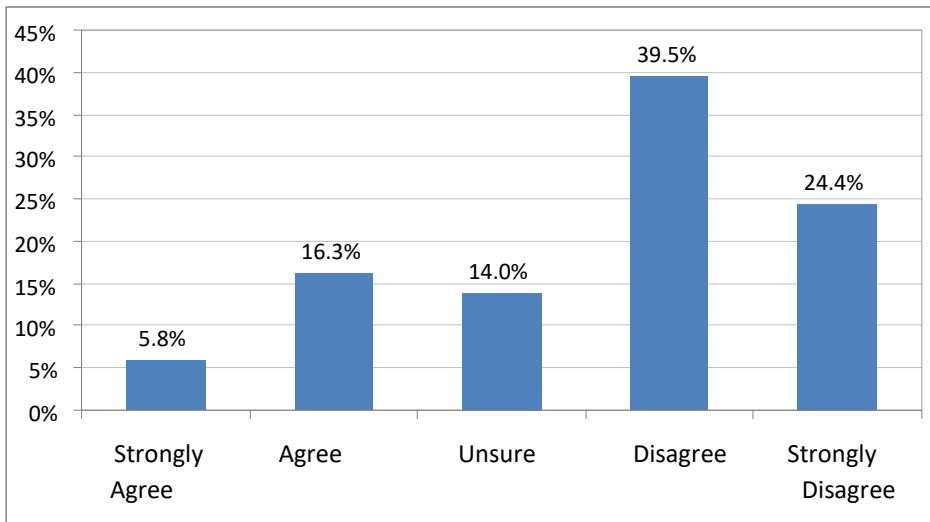


Figure 5.8: Continuous training and development is the norm at Umdoni Municipality

The finding under this question is in contrast with the objectives of PMS within municipalities, which are to facilitate continuous training and development towards improving or enhancing employee performance, particularly on areas where employees lack (eThekweni Municipality, 2008; Umtshezi Municipality, 2011). The Westonia Local Municipality (2010) asserts that the IDP must set clear development objectives, targets and provide direction to improve performance through training and development. The findings indicate that continuous training and development is not a norm at the Umdoni Municipality. Hence, the findings indicate a contrast of the purpose of the IDP asserted by the Westonia Local Municipality (2010). This suggests that there is a need for better effective implementation of PMS because an effective implementation of a PMS would help Umdoni Municipality to identify areas in need of attention, such as training and development gaps and skills gaps which need to be addressed (Munzhedzi, 2011).

5.5 FINDINGS BASED ON OBJECTIVE TWO: TO ASSESS THE EXTENT TO WHICH PMS PRINCIPLES ARE BEING APPLIED AT UMDONI MUNICIPALITY

The second objective sought to assess the extent to which PMS principles are applied at Umdoni Municipality. A total of seven questions were developed, aimed at addressing this objective. The analysis of the data is presented in Figures 5.11 to 5.17.

5.5.1 Performance is evaluated in an appropriate way, reflecting the specific functions on the job

This question sought to assess if employee performance at Umdoni was being appropriately evaluated in way that reflects the specific functions on the job. Below is an analysis of the results under the question.

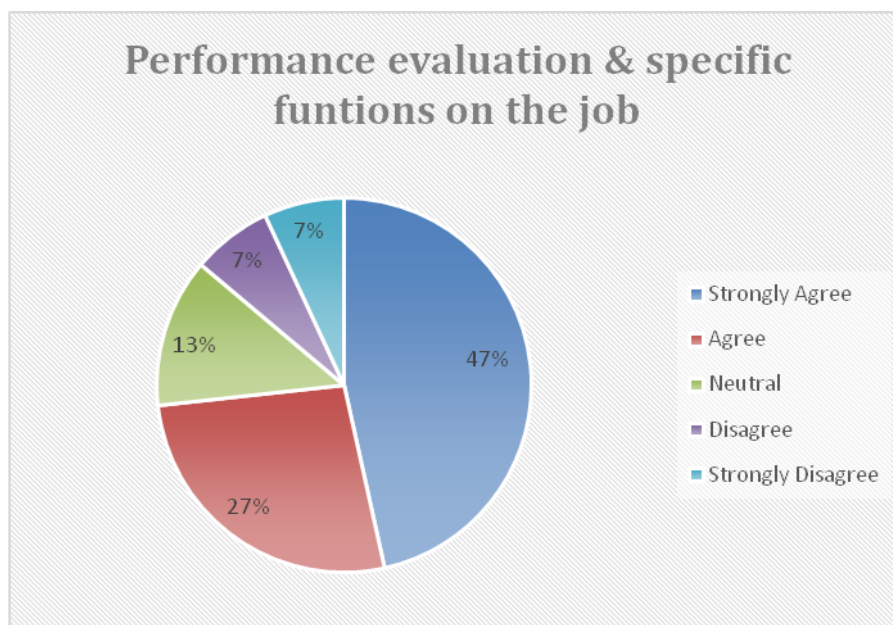


Figure 5.9: Performance evaluation versus reflection of specific job functions

Figure 5.9 shows that a total of 74% (47% + 27%) agreed with the statement that performance at Umdoni Municipality was evaluated using appropriate ways that reflected the specific functions on the job, while 14% (7% + 7%) disagreed with the statement and 13% gave a neutral response. These results indicate that the participants felt that Umdoni Municipality evaluated performance in accordance with the principle of reflecting specific job functions. This finding also ties with McPhee (2006) who argue that an effective performance evaluation process is one that

captures the specific functions of a job. Lukhanji Municipality (2013) confirms McPhee (2006) by stating that it is imperative that performance evaluations should be undertaken in a way that is conscious of the specific job functions of employees, otherwise, the evaluations will lose focus.

5.5.2 The PMS provides detailed guidance to employees on what is expected of them

This question was designed with the aim of evaluating if the PMS at Umdoni provided detailed guidance to employees on what was expected of them.

Figure 5.10 shows that 60% (47% + 13%) of the participants agreed with the statement that PMS at Umdoni provided detailed guidance to employees on what was expected of them, followed by 33% (13% + 20%) who disagreed with the statement, whilst 7% was neutral.

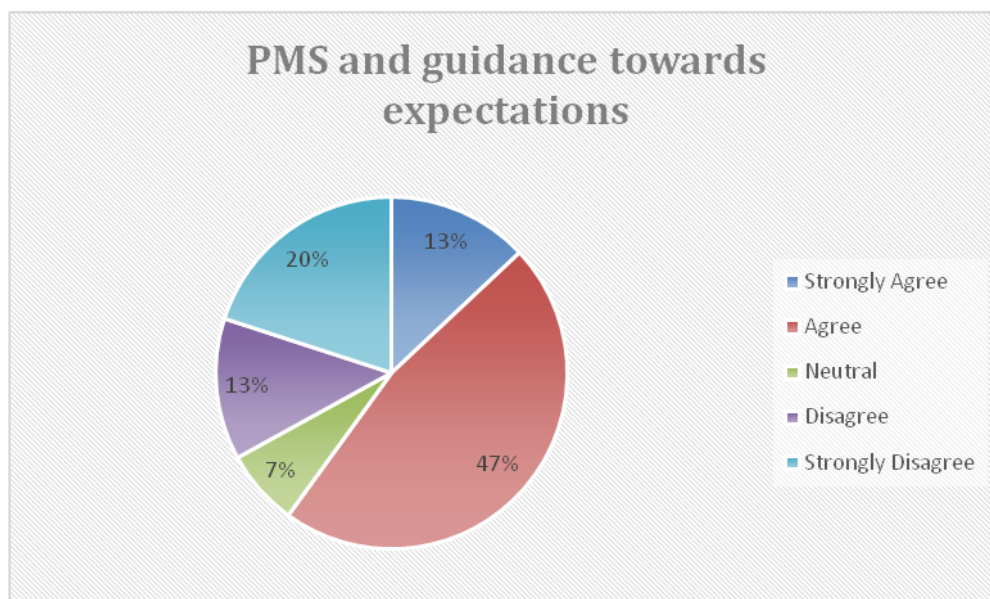


Figure 5.10: PMS and employee expected outcomes

Overall, the findings indicate that there is a general consensus that the PMS at Umdoni municipality provides a detailed guidance to employees on what is expected of them in the workplace. Munzhedzi (2011) shared similar views to this finding. According to Munzhedzi (2011), an effective PMS should ensure that guidance on employees' expected outcomes is addressed. In doing so, the performance evaluation methods

and techniques used by organisation will effectively address employee expectation (Armstrong, 1995; Radnor & Barnes, 2007; Shaout & Yousif, 2014).

Hogwood (2014) emphasised how critical it is for a PMS to focus on addressing employee expected outcomes as a determinant of its effectiveness and pointed out that a PMS that fails to address employees' expected outcome is deemed valueless. Concisely, the Umdoni Municipality has been found to be appropriately addressing employee expectations, meaning that there is value in the PMS of the municipality.

5.5.3 The PMS evaluation system distinguishes between effective and ineffective staff

This question was designed to ascertain whether the PMS at Umdoni Municipality was able to distinguish between effective and ineffective employees. The data gathered under the question are presented below.

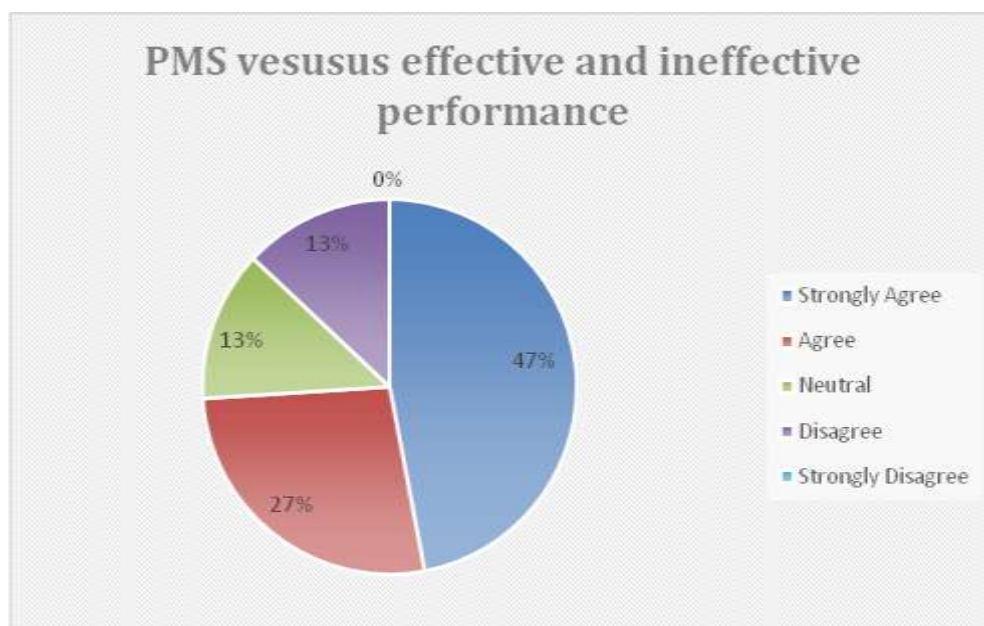


Figure 5.11: The PMS distinguishes between effective and ineffective staff

Figure 5.11 shows that the majority of the respondents (74%) agreed that the PMS evaluation system could distinguish between effective and ineffective staff, thus, 47% plus 27%. The findings also showed that 13% disagreed with the statement, whilst equitably 13% gave a neutral response.

The finding under this question indicates that the current PMS at the Umdoni Municipality can distinguish between effective and non-effective performers in the workplace. This finding is supported by various authors who include Moore (1985), Armstrong (1995), Curtis (1999), Aguninis (2005), Maila (2006), De Bruijn (2007), Amos *et al* (2008), Munzhedzi (2011), Jessa (2012) and Paile (2012), who indicated that a good PMS must primarily seek to identify effective and ineffective performance, with a view to improve non-performers while consolidating on effective performers.

5.5.4 Communications regarding performance are effective

The purpose of this question was to evaluate whether communications regarding performance were sufficiently effective at Umdoni Municipality. Data on this question are presented below.

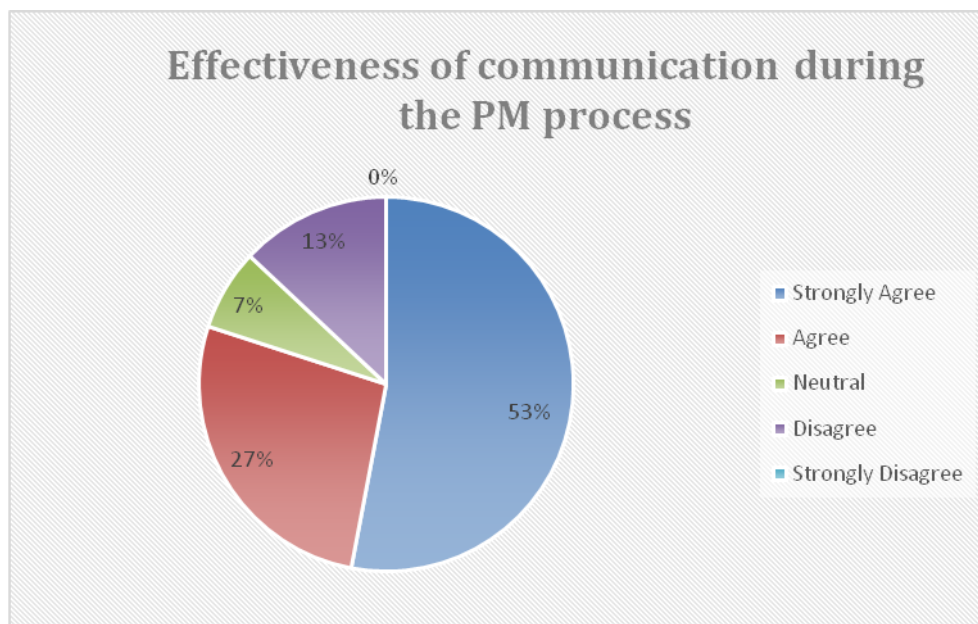


Figure 5.12: Communications regarding performance are effective

Figure 5.12 shows that the majority of the respondents (80%) agreed with the statement that communications regarding performance were effective, thus, (53% + 27%). A total of 13% of the respondents disagreed with the statement and 7% gave a neutral response. Armstrong (2009) supports this finding by highlighting that communication is the fulcrum of a PMS in organisations. The reason is that the non-

existence of effective communication on employee performance indicates that a PMS has no purpose and direction.

This indicates that communication is a critical practice as it ensures that plans are being implemented. A study by Armstrong (2009) which investigated the challenges in the implementation of PMS in the public sector, found that the key issues underpinning any successful Performance Management System was constant communication on employee performance.

5.5.5 Employee performance is frequently evaluated

This question sought to evaluate whether employee performance was frequently evaluated at Umdoni Municipality. The data to answer this question were gathered and presented below.

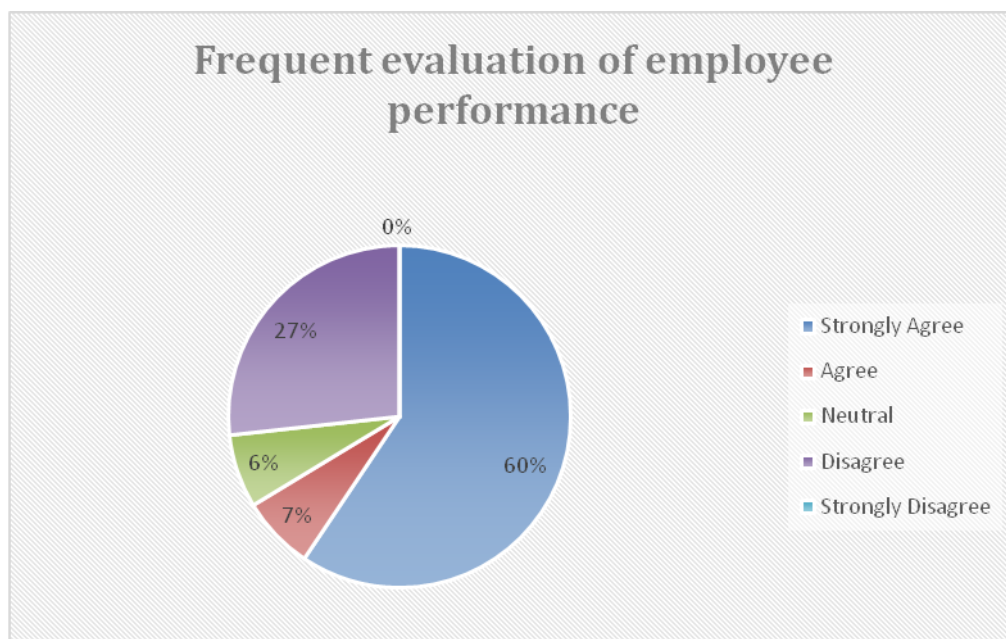


Figure 5.13: Employee performance is frequently evaluated

Figure 5.13 shows that the majority of the respondents (67%) agreed with the statement that employee performance was frequently evaluated, thus, (60% + 7%). A total of 13% disagreed with the statement and 7% had a neutral response. Overall, the general consensus amongst the participants was that the Umdoni Municipality frequently evaluates employee performance. However, it is important to note that frequent evaluation might not mean that the evaluation is effective or done appropriately. Munzhedzi (2011) wrote extensively on performance evaluation in the

public sector, with a focus on constant and frequent evaluation on performance. According to Munzhedzi (2011), performance evaluation must be conducted periodically as a practice to ensure effective monitoring and review. Armstrong (2009) added that a performance evaluation must not only be conducted to assess performance, but it should be conducted with aim of identifying opportunities for improvement.

5.5.6 Employees can go through an appeals process to challenge an unjust performance evaluation outcome

Figure 5.14 shows that the majority of the respondents (58.3%) disagreed that the employees at the Umdoni Municipality go through an appeals process to challenge unjust performance evaluation outcomes. While 33,4% agreed to the statement, 8,3% provided a neutral response.

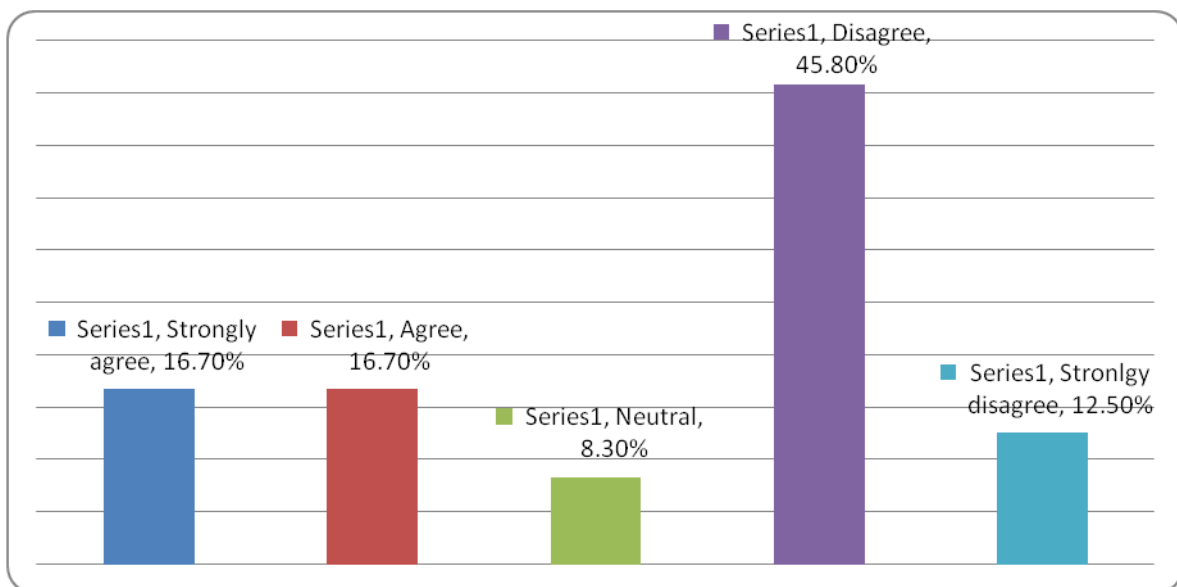


Figure 5.14: Employees versus unjust performance evaluation outcome

5.5.7 Supervisors find it easy to measure if performance targets have been reached or not

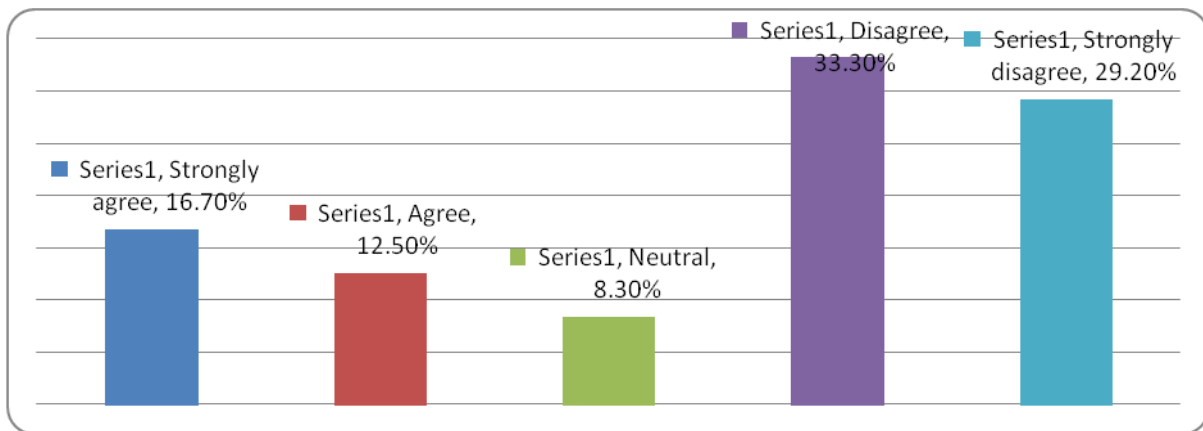


Figure 5.15: Supervisors' measurement of performance targets

Figure 5.15 indicates that the majority of the respondents (62.40%) disagreed that supervisors find it easy to measure whether performance targets have been reached or not. A total of 29.20% (16.70% + 12.50%) agreed with the statement, while 8.3% gave a neutral response.

These findings are similar to the assertion by Dickenham (2008) when he states that performance measuring and monitoring must encompass the monitoring and measuring of individual employee performance to appropriately identify performers and non-performers.

In order to make the performance measurement and monitoring process meaningful, the process must be continuous and feedback must be continuously provided to all employees. The two processes can be done quarterly, annually or bi-annually, depending on organisational human resources. However, Harris (2010) adds that in order to ensure that the performance measurement and monitoring process is effective, it must be characterised by transparency and appraisal for good performers. A similar argument is presented by Amos *et al* (2008) and Mathison and Vinja (2010) who argue that feedback should not only be timely and positive, but also be accompanied by immediate recognition, coaching, the implementation of intervention measures that would assist in performance improvement and correcting the factors hindering the effective performance of employees in an organisation.

5.6 FINDINGS BASED ON OBJECTIVE THREE: TO EVALUATE THE PERSONAL OPINIONS OF EMPLOYEES REGARDING THE BENEFITS OF THE USE OF PMS AT THE UMDONI MUNICIPALITY

This section shows the findings on the personal opinions of employees on the benefits of the use of PMS at Umdoni Municipality. Five questions were developed to address the objective. The findings of this inquiry are presented in the Figures 5.18 to 5.21.

5.6.1 Performance management contributes to improved performance

This question aimed at evaluating whether the PMS at Umdoni Municipality improves employee performance. The findings are presented below.

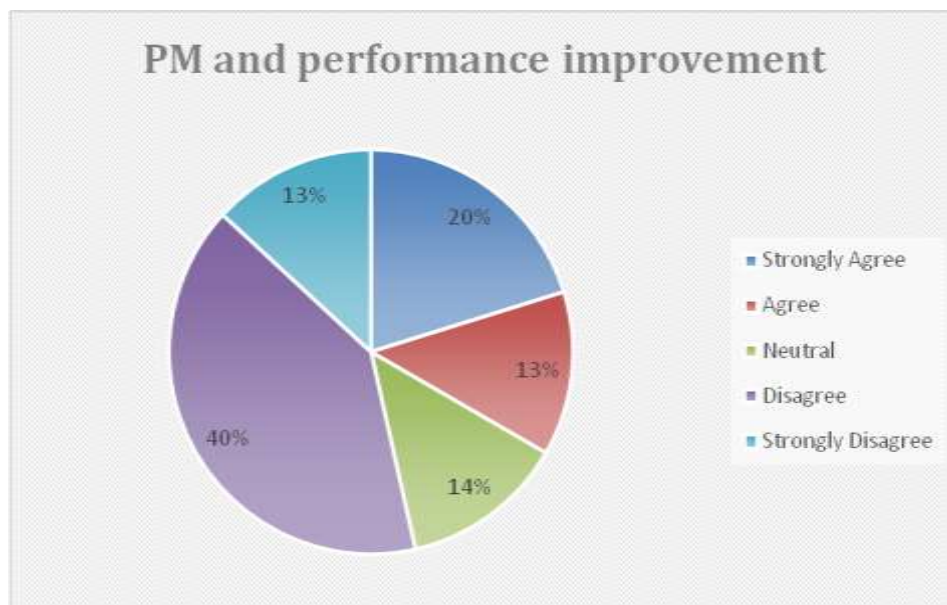


Figure 5.16: Performance management and improved performance

Figure 5.16 shows that 53% of the respondents disagreed with the statement that performance management at Umdoni contributed to improved employee performance, thus, (40% + 13%). While a total of 33% (20% + 13%) agreed with the statement, 14% felt neutral about the statement. The Westonaria Local Municipality (2010) notes that PMS must be integrated into the IDP because this enables managers to easily align actions with set objectives. An analysis of the objectives of PMS and IDPs shows that a PMS feeds into the IDP, as both revolve around improving community service delivery, the enhancement of transparency and accountability in local government.

The IDP sets clear development targets and provides direction to improve the performance of employees in the organisation. A PMS sets key performance indicators (KPIs) and criteria for the measurement of performance for the overall IDP and for specific projects. In addition, the linkage between PMS and IDP is provided under Section 26(a)(i) of the Local Government: Municipal Systems Act (32 of 2000), which makes this linkage a legal obligation.

5.6.2 PMS derives benefits for Umdoni Municipality

This question sought to find out whether PMS derives benefits for Umdoni Municipality. The findings for this question are shown below.

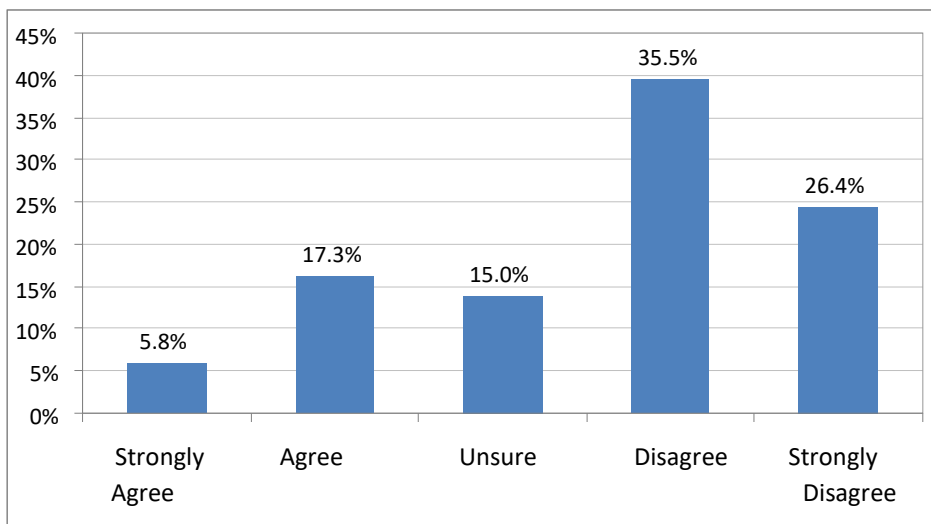


Figure 5.17: PMS derives benefits for Umdoni Municipality

Figure 5.17 above shows that the majority of the respondents (61.9%) disagreed with the statement that PMS derives benefits for Umdoni Municipality, thus, (35.5% + 26.4%). While a total of 23.1% (5.8% + 17.3%) agreed with the statement, 15.0% gave a neutral assertion. The benefits of PMS are to help employees have clearer insights into their jobs by clarifying their duties and responsibilities. This enables employees to contribute meaningfully to the achievement of the municipal IDP. The reason is that an effective PMS ensures that employees are assisted to discover their areas of strengths and weaknesses. This is imperative because it enhances individual career development (Drakenstein Municipality, 2012). The findings indicate that the adoption of PMS frameworks in South African municipalities has not reached a level at which a PMS can be effectively implemented.

5.6.3 PMS addresses staff morale at Umdoni Municipality

This question was designed to evaluate whether the current PMS at Umdoni municipality addresses staff morale. Data gathered to answer this question are presented below.

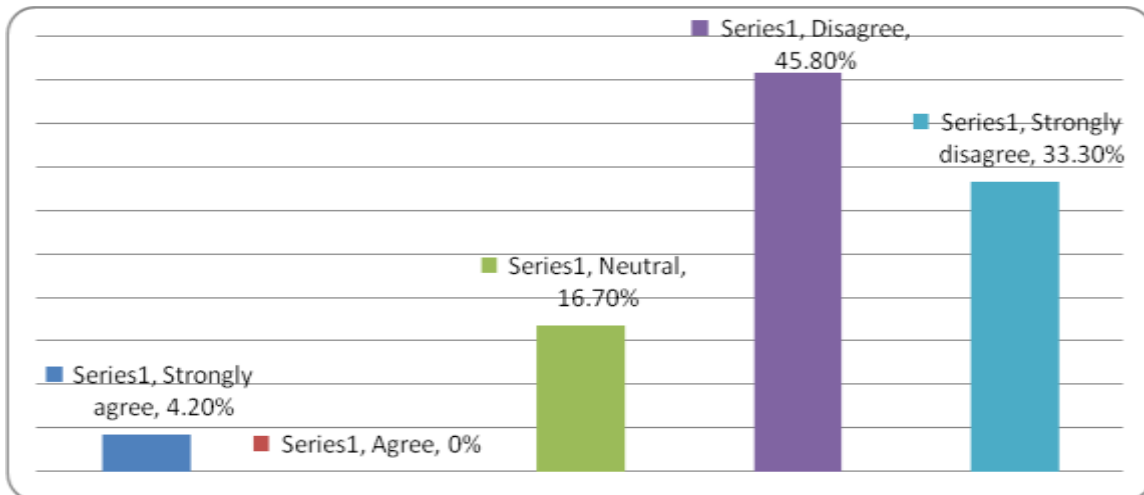


Figure 5.18: PMS addresses staff morale at Umdoni Municipality

Figure 5.18 shows that the majority of the respondents (79.1%) disagreed with the statement, thus, (45.80% + 33.30%). While a relatively small percentage of 4.20% agreed with the statement, 16.70% provided a neutral response. These findings are echoed by various authors who include Moore (1985); Armstrong (1995); Curtis (1999); Aguninis (2005); Maila (2006); De Bruijn (2007); Amos *et al* (2008); Munzhedzi (2011); Jessa (2012) and Paile (2012), who single out PMS as a human resource system capable of enhancing employee morale through supportive training, development and by providing appropriate rewards.

5.6.4 Umdoni Municipality excels because of the proper implementation of PMS

This question sought to ascertain whether the Umdoni Municipality excels because of proper implementation of PMS. The findings are presented below.

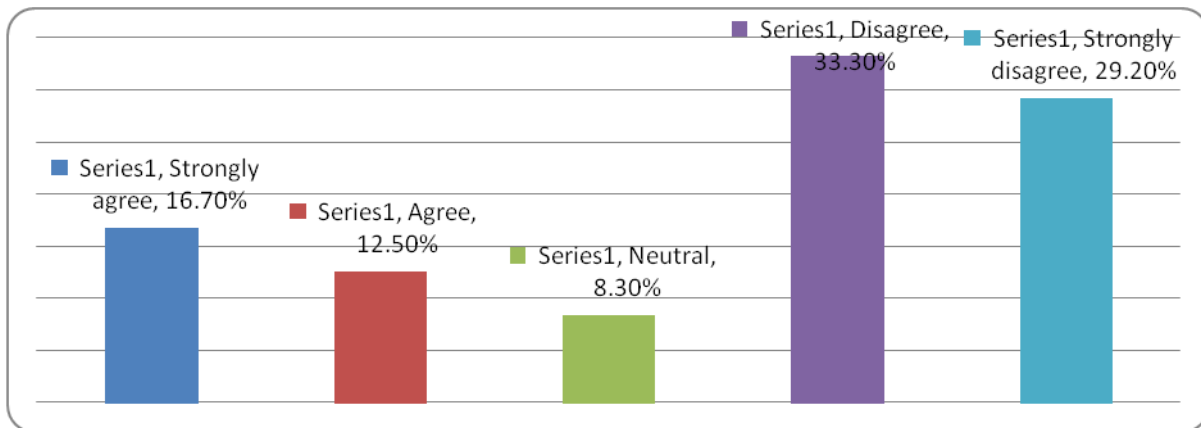


Figure 5.19: Umdoni Municipality's success versus proper implementation of PMS

Figure 5.19 above clearly shows that 62.50% of the respondents (33.30 + 29.20%) disagreed with the statement that Umdoni Municipality excels because of the proper implementation of PMS. While 29.20% (16.70% + 12.50%) agreed with the statement, 8.30 % had a neutral response.

The findings indicate that the employees at Umdoni Municipality perceived the current implementation of PMS as ineffective, as it is asserted to be not excelling. According to the Drakenstein Municipality (2012), an effective implementation of PMS would improve the performance of the municipality and in instances where a municipality that has adopted a PMS fails to excel, indications are that the implementation process might be flawed.

5.7 FINDINGS BASED ON OBJECTIVE FOUR: TO DETERMINE THE FACTORS HINDERING THE EFFECTIVE APPLICATION OF PMS AT THE UMDONI MUNICIPALITY

This objective sought to determine the factors hindering the effective application of PMS within Umdoni Municipality. Seven questions were developed to address the objectives. The findings are presented in Figures 4.23 to 4.29.

5.7.1 Supervisors often provide individual feedback on employee performance

The question was designed to determine if supervisors at Umdoni municipality often provided individual feedback on employee performance. The findings are presented below.

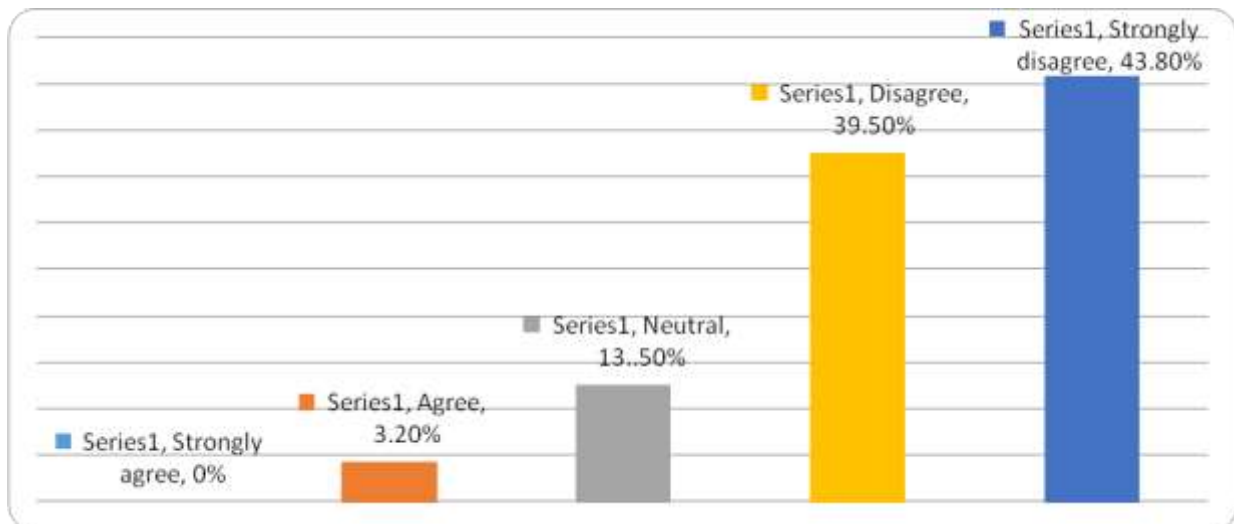


Figure 5.20: Provision of feedback by supervisors

Figure 5.20 shows that the majority of the respondents (83.30%) disagreed with the statement that supervisors often provide individual feedback on employee performance, as represented by, (43.80% + 39.40%), while 3.20% agreed and 13.50% were undecided about the statement.

As stated by Dickenham (2008), the process of performance measurement and monitoring involves a systematic collection, analysis and feed-backing of information that is essential in determining the performance in an organisation. This process also helps to establish the extent to which employees have met the set agreed performance goals and performance targets.

5.7.2 The PMS is a consistent process

The purpose of this question was to determine whether the Umdoni Municipality's application of PMS was consistent or not. The findings for this inquiry are presented below.

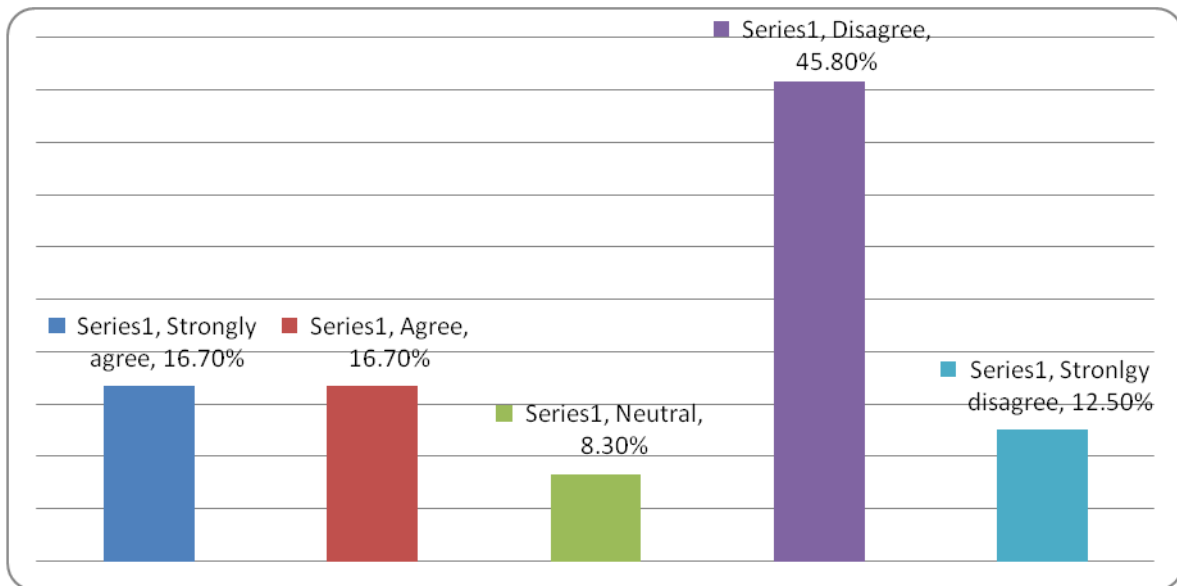


Figure 5.1: The PMS is a consistent process

Figure 5.21 shows that 58.3% of the respondents disagreed with the statement that application of PMS at the Umdoni Municipality is a consistent process, thus, (45.80% + 12.50%). While 33.40% (16.70% + 16.70%) of the respondents agreed with the statement, 8.30% was undecided. The Municipal Planning and Performance Management Regulations compel municipalities in South Africa to be consistent with several legal frameworks. For example, the White Paper on Local Government (1998), Local Government: Municipal Systems Act (32 of 2000), the Local Government: Municipal Finance Management Act (56 of 2003); and the Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers (2006). The primary functions of these legislations are to monitor, measure, review and audit the performance standards of a municipality and its staff against set targets and contractual obligations (Umdoni Municipality Integrated Development Plan, 2015/2016).

5.7.3 The information communicated in the performance management review is reliable

This question sought to determine whether the information communicated in the Umdoni Municipality performance, management review was reliable or not. The findings for the inquiry are presented below.

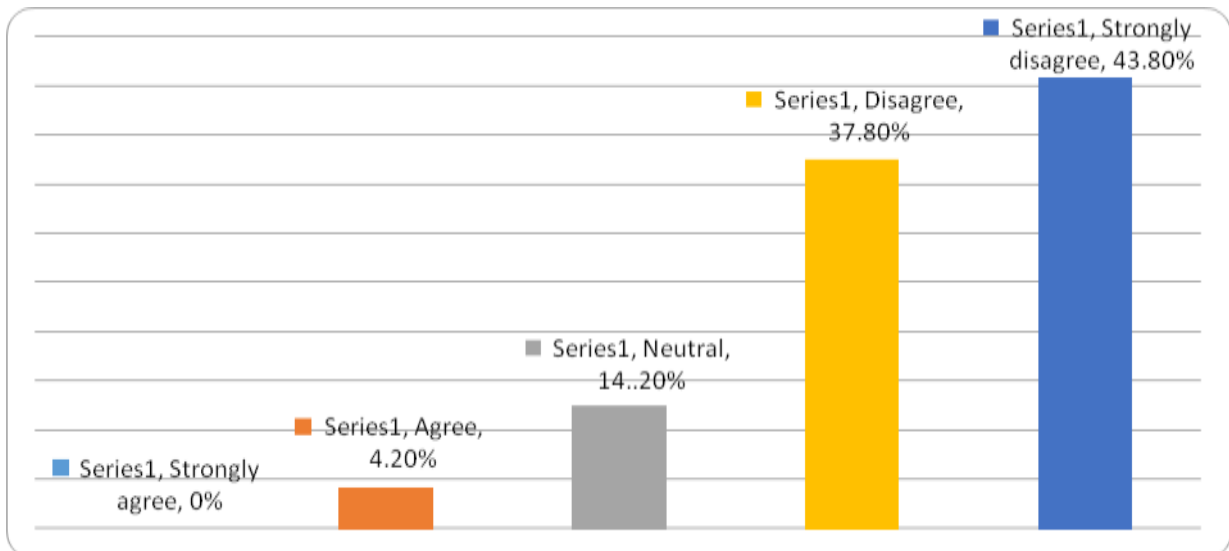


Figure 5.22: Reliability of the information communicated in the performance management review

Figure 5.22 shows that a total of 81.6% (37.80% + 43.80%) disagreed with the statement that the information communicated in the performance management review was reliable, while only 4.20% agreed to the statement and 14.20% took a neutral position.

5.7.4 The performance appraisal meeting is a two-way communication process

The purpose of this question was to determine if the performance appraisal meeting between the supervisor/line manager and subordinates was a two-way-communication process. Data to address this question are presented in Figure 5.23.

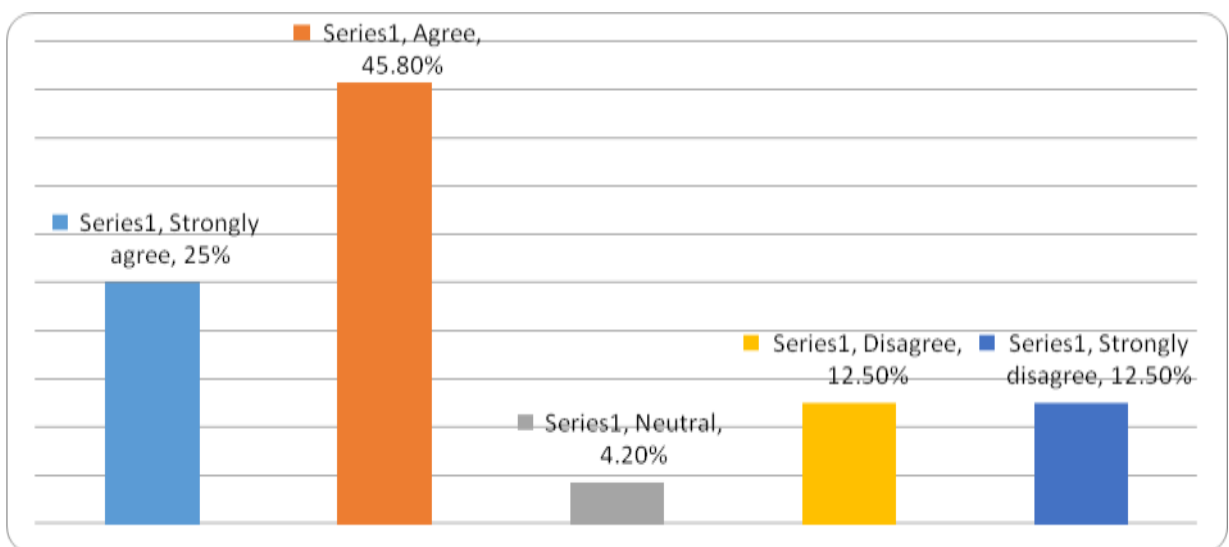


Figure 5.23: Communication during performance appraisal meeting

Figure 5.23 shows that the majority of the participants 70.80% (45.80% + 25%) agreed with the statement that the performance appraisal meeting within Umdoni municipality was a two-way communication process, followed by a total of 25% (12.50% + 12.50%) which disagreed with the statement, while only 4.20% took a neutral position.

According to Chubb, Reilly and Brown (2011) a two-way communication between the appraiser and appraised during performance appraisal meetings is the solution to effective appraisal process within the PM implementation sphere. Chubb, Reilly and Brown (2011) refer to the two-way communication within the performance appraisal meeting as a top and down communication process that creates a colleague relationship between the two, ultimately creating a conducive environment for performance improvement.

Sebashe and Mtapuri (2011), for example, found that the PMS, in South African public institutions is largely flawed due to one-sided communication, whereby line managers behave as the main senders of communication and the employees are on the receiving end. In this study, communication is two-way, which is a sign of hope that PMS, from a communication point of view, is in the right direction at Umdoni Municipality.

5.7.5 Everyone understands how PMS works

This question was designed to determine if the Umdoni workforce understood the how the current PMS works. Data to address the question are presented below.

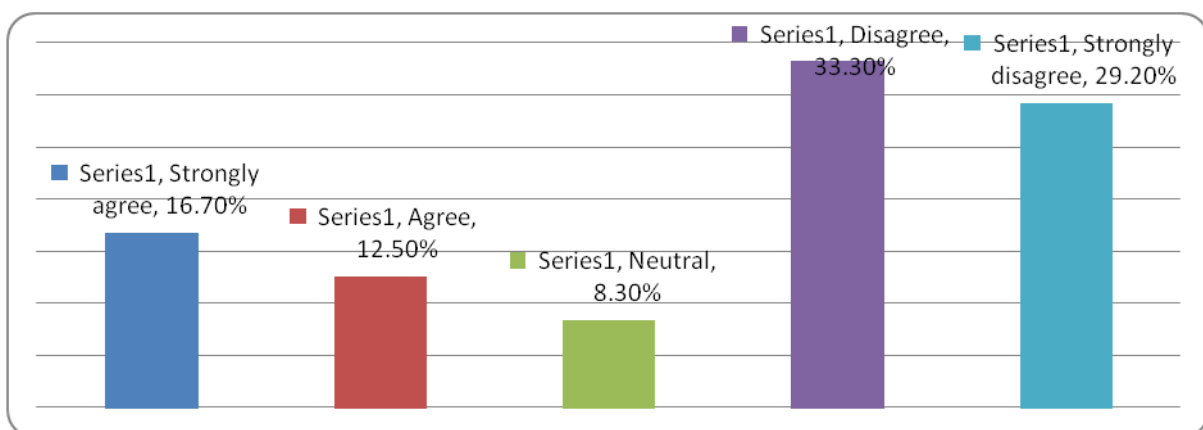


Figure 5.24: Everyone understands how PMS works

Figure 5.24 shows that the overall majority of the participants, 62.5% (33.30% + 29.20%) disagreed with the statement that everyone understands how PMS works,

followed by 29.20% (16.70% + 12.50%) which agreed with the statement, while 8.30% took a neutral position.

The overall finding is that Umdoni employees do not understand the current PMS, suggesting that the majority of the employees are working or applying a system which they do not understand, thus, casting doubts on whether the system would yield the intended positive gains. Ngwenya (2014), in a study of PMS awareness in municipalities, argues that creating awareness on the PMS implementation was necessary for showing the need, while creating urgency. Sebashe and Mtapuri (2011) argue that organisations that fail to sell the idea of PMS to the client system, particularly employees, will risk reaping positive rewards in future. The fact that employees at Umdoni Municipality are largely not aware of the current PMS, which is purportedly in use, posits a negative development that the success of the implementation will be far-fetched, until awareness is made to the majority.

5.7.6 Management is doing enough to solve problems facing the PMS implementation

Question twenty-four was designed to determine whether the management at Umdoni municipality was doing enough to solve problems affecting the implementation of PMS. The findings for this inquiry are presented below.

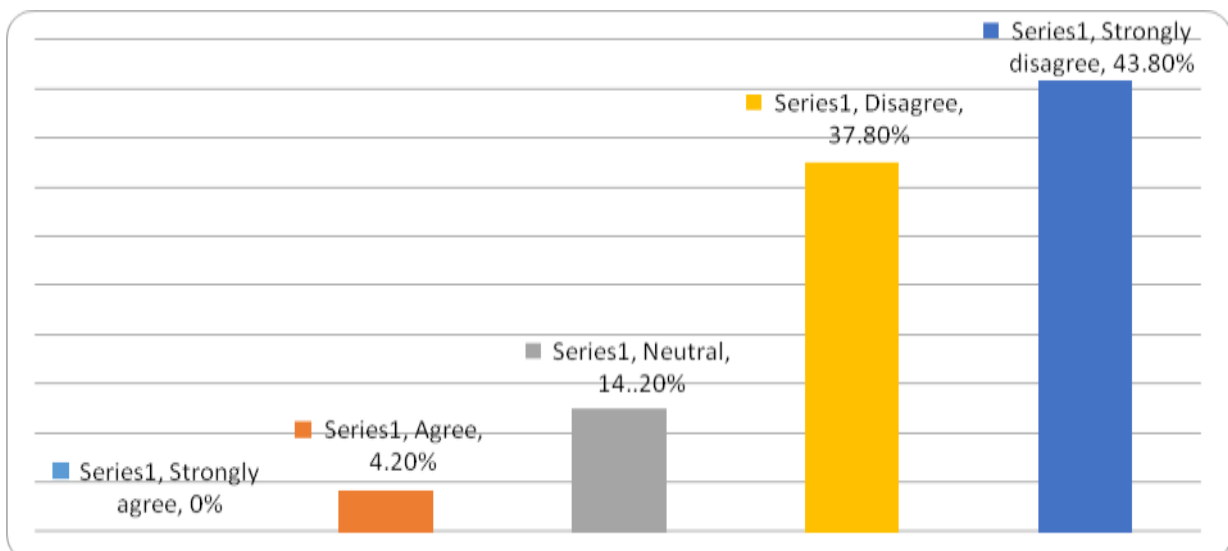


Figure 5.25: Management is doing enough to solve problems facing PMS implementation.

Figure 5.25 shows that the majority of the respondents, 81.60% (37.80% + 43.80%) disagreed with the statement that management was doing enough to solve problems facing the PMS implementation. While only 4.20% agreed with the statement, 14.20% was undecided.

5.7.7 Political leadership supports PMS

The purpose of this question was to determine whether the political leadership at the Umdoni Municipality supported the current PMS. The findings for this inquiry are presented below.

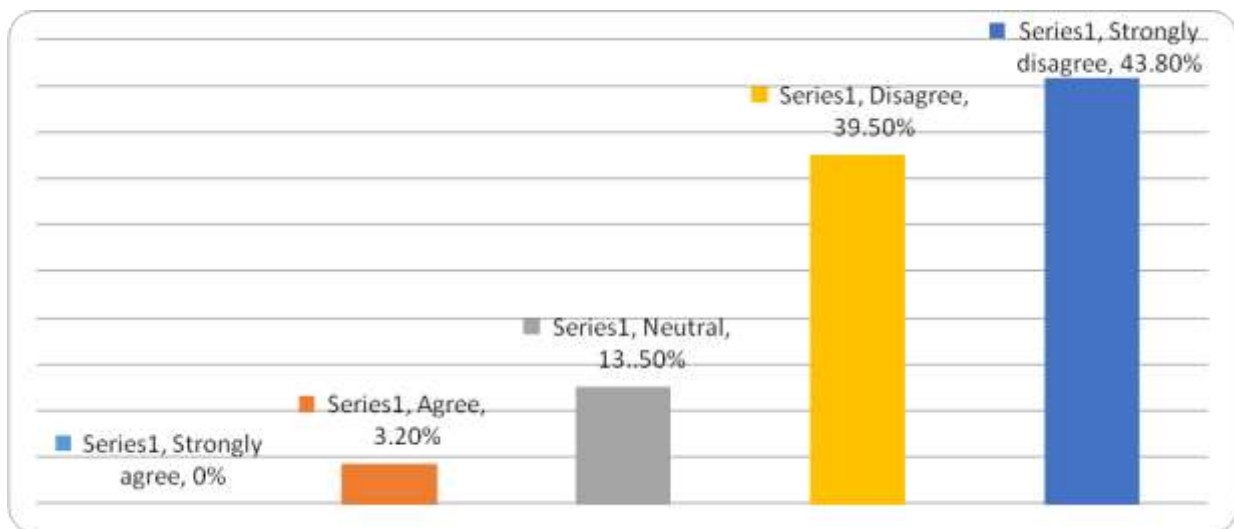


Figure 5.26: political leadership supports PMS

Figure 5.26 shows that the majority of the respondents, 83.3% (39.50% + 43.80%) disagreed with statement that political leadership at Umdoni supported the current PMS. While only 3.20% agreed with the statement, 13.50% was undecided.

5.8 CONCLUSION

This chapter discussed the findings of the study by reconciling it with the literature and the theoretical frameworks discussed in Chapter 2 and Chapter 3. The discussion of the research findings in this chapter showed that PMS is still being inconsistently implemented in the Solid Waste Management Division at Umdoni Municipality. The chapter also showed that there was a disparity between the opinions of managers and the operational staff of the Solid Waste Management Division at Umdoni Municipality.

The operational staff felt that they were alienated from the PMS and had no idea how it worked. Regarding PMS practices, the operational staff saw it as not being appropriately implemented. The study also provided solutions to the adherence to PMS. Many of the recommended solutions provided were based on the works of Tyler (2005) and the Adherence Model displayed in Chapter 3. A summary of the study, lessons learnt and possible advisory information for further studies and the conclusion are described in Chapter Six.

CHAPTER SIX

6 GENERAL CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The previous chapter presented the research survey findings of the study. This chapter presents the findings, conclusions and recommendations on each of the four objectives of the study. Prior to presenting these final sections, the chapter provides a summary of the study, in order to arrive at the rationale of the conclusions and recommendations. The chapter concludes by providing the scope for further research.

6.2 SUMMARY OF THE STUDY

The purpose of the study was to establish whether the Solid Waste Management Division within the Umdoni Municipality adhered to the Performance Management System Framework.

Chapter one introduced the study by presenting the background to the study, as well as developing the key research objectives. The study centred on the implementation of the Performance Management System as a tried and tested approach to performance management across all organisations, particularly in the public sector. The study showed that the/effective performance of public institutions is higher, particularly in municipalities. Municipalities have a key mandate to provide services to the respective communities that they serve. Mindful of the critical importance of the need to ensure effective performance, the Department of Co-operative Governance and Traditional Affairs developed a performance management framework which all municipalities across South Africa ought to adopt and implement to ensure effective performance. While much emphasis on the adherence to the performance management framework within Umdoni Municipality has been given attention in departments like Community Services, Corporate Services, Technical Services, Financial Services and Planning and Development Services, the Solid Waste Management Division is often ignored, hence, not taken seriously, yet failure to manage waste can lead to health disasters such as disease outbreak. This chapter developed the following research objectives to guide the study:

- To what extent is the Umdoni Municipality's Performance Management System aligned with the organisational strategy (IDP)?
- To what extent are the current Performance Management System principles applied at the Umdoni Municipality?
- What are the personal opinions of employees regarding the benefits of Performance Management System at the Umdoni Municipality?
- What are the factors hindering the effective application of Performance Management System at the Umdoni Municipality?

Chapter two focussed on the origin and evolution of management and the emergence of PMS as a management component from various scholars on PMS. It is clear from the authors that PMS is human resources management system applicable across organisations, as well as the public-sector tracing back to the first quarter of the 20th century. The chapter, thus, traced the origin of management and the concept's relevance to the public sector, particularly municipalities.

Chapter three presented the legislative framework surrounding the implementation of the PMS in the public sector, with reference to South Africa's legislative framework. The chapter discussed the legislation underpinning the PMS in South Africa, showing the legislation that fosters the development and the implementation of PMS. In addition, the chapter demonstrated the importance of aligning the IDP with the PMS. The chapter also highlighted how the PMS process should operate in an ideal municipal environment.

Chapter four focused on the research methodology for the study. The study employed a positivist philosophy approached from a quantitative methodology, where data were gathered from a sample of 115 participants who were selected from the population of about 400 within Umdoni Municipality. The questionnaire of a Likert scale type was used as the data collection instrument, where upon data were analysed using the SPSS tool.

Chapter five presented the findings of the study aligned with the objectives, ensuring that data gathered on all the 25 questionnaire items were presented on appropriate

diagrams by the analysis of each question. The findings on each question were linked to the literature.

6.3 FINDINGS, CONCLUSION AND RECOMMENDATIONS

This section presents the findings, draws conclusions under the respective questions and to make recommendations towards improving PMS implementation at the Solid Waste Management Division within Umdoni Municipality.

6.3.1 Alignment of PMS to the organisational strategy

Finding: Figures 5.6 to 5.10 showed that participants indicated that the municipality has a PMS, which is aligned with the vision, with targets aligned with the goals, while being informed by the IDP. In addition, the reaching of the targets formed part of the Umdoni culture, which is a good development towards alignment with PMS. On the other hand, Figure 5.6 indicated that Umdoni Municipality lacked continuous training and development as reflected by the 63.4%.

Conclusion: Based on the findings, the study concludes that the IDP forms the basis of PMS implementation, with emphasis placed on the alignment of PMS with the vision and organisational goals. In addition, continuous training and development is necessary for ensuring effective PMS.

Recommendation: The study recommends that Umdoni Municipality provide continuous training and development on PMS towards enhancing employees on information, skills and competencies, to ensure that they understand and perform at the expected levels.

6.3.2 Application of PMS principles at the Umdoni Municipality

Findings: Figures 5.11 to 5.15 showed that the participants indicated that performance was evaluated appropriately (74%), PMS

provided detailed feedback (60%), PMS distinguishes effective and ineffective performers (74%), PMS communicates on performance (80%) and that there is frequent evaluation of performance (76%). On the other hand, the participants indicated that there was no appeals process to discuss unjust performance evaluations (58.3%) and that supervisors did not find it easy to measure performance (62.5%).

Conclusion:

Based on the above findings, the study concludes that Umdoni Municipality applies most of the PMS principles appropriately, particularly in the evaluation of performance, providing detailed feedback on performance, effective communication and the ability of the PMS to distinguish effective and non-effective performance. In addition, the study concludes that Umdoni Municipality is lagging behind in terms of affording employees an appeals process to address any unjust evaluation, as well as addressing supervisor difficulty in measuring performance.

Recommendation:

The study recommends that Umdoni Municipality improves the performance management process by affording an opportunity to all employees, where they are given room to lodge an appeal platform to discuss an unjust evaluation and use the platform to improve their performance, while finding alternative ways through which supervisors can easily measure performance.

6.3.3 Personal opinions of employees regarding the benefits of PMS at the Umdoni Municipality

Finding:

Figures 5.18 to 5.21 showed negative responses on all the statements that Umdoni Municipality's PMS contributes to improved performance (53%), provides continuous training and development (63.9%), derives benefits to

employees, enhances staff morale (79.1%) and excels due to the proper implementation of PMS (62.50%).

Conclusion: Umdoni Municipality employees have a negative opinion on the current PMS, particularly as they do not believe that the system can yield benefits. Over and above the negative opinion, the municipality does not provide training and development on PMS to employees, hence, the employees seem not to see the benefits of the PMS to individuals and to the municipality.

Recommendation: The study recommends that Umdoni Municipality should start by providing workshops on PMS, with a view to educate all the employees on the importance of the PMS system towards enhancing employee perception of the PMS. This is done in order to seek employee buy-in, which could probably change their opinion towards a positive perception, for it is through a positive mind that a system such as PMS will work.

6.3.4 Factors hindering the effective implementation of PMS at the Umdoni Municipality

Findings: Figures 5.23 to 5.29 showed negative responses on all the statements, except for Figure 5.26. The negative statements included supervisor provides feedback on performance (83.30%), PMS as a consistent process (58.3%), reliability of information communicated in the management review (81.6%), everyone understands how PMS works (62.5%), management doing enough to solve PMS implementation problems (81.60) and political leadership support for PMS (83.3%). Only one aspect showed an agreement to the statement that there was a two-way communication during the appraisal meeting (70.8%).

Conclusion: Based on the above finding, the study concludes that the success of PMS implementation at Umdoni Municipality was negatively affected by the lack of supervisor feedback, the inconsistencies of the PM process, unreliability of management reviews, lack of knowledge by the employees on what PM was all about, as well as the lack of support and both managerial and political leadership.

Recommendation: The study recommends that Umdoni Municipality establishes a specific committee on PMS implementation. This committee will have oversight on all matters related to the role of the supervisors and management in PMS implementation, consistency during PMS implementation and training on PMS implementation, as well as the role of political leadership in PMS implementation.

6.4 SCOPE FOR FURTHER RESEARCH

This study only focussed on the Solid Waste Management Division within the Umdoni Municipality only and yet, the municipality has several departments that could be facing similar challenges. The study recommends that a similar study be conducted across other sections of the municipality, to ascertain if similar challenges emerge to arrive at a balanced view regarding adherence to the PMS implementation across the various divisions of Umdoni Municipality.

6.5 CONCLUSION

The purpose of the study was to assess if the Solid Waste Management Division within the Umdoni Municipality adhered to the Performance Management System framework, following indications that the division faced numerous service delivery challenges which were deemed avoidable through the effective implementation of the Performance Management System. The researcher believes that the purpose and the objectives of the study have been achieved. Lastly, the study has shown that in order

to achieve South Africa's National Development Plan goals of transforming local government and steering efficient service delivery, it is imperative that Performance Management System is institutionalised in the organisational culture of municipalities.

Though this study successfully achieved its purpose and objectives, it merely provided the basis and recommendations for adherence to Performance Management System implementations. Thus, a call still stands for a more concrete and scientifically sound framework regarding the implementation of Performance Management System within the public sector environment.

REFERENCES

Adams, J. Khan, H. Raeside, R and White, D (2007). *Research methods for graduate business and social science students*. Sage Publications Ltd, London.

Adams, Anne and Cox, Anna L. (2008). Questionnaires, in-depth interviews and focus groups. In Cairns, Paul and Cox, Anna L. Eds. *Research methods for human computer interaction*. Cambridge, UK: Cambridge University Press, pp. 17–34.

Aganang Municipality (2014). *Aganang annual report*. Aganang

Aguinis, I (2009). *Performance management*. (2nd ed.). Upper Saddle River, NJ: Pearson Prentice Hall.

Alberts, R. (2012). *The provision of municipal waste management services: quo vadis? (Uyaphi?)* ELA Annual Conference 2012 Two Oceans Aquarium, Cape Town.

Alexander, G. and Kane-Berman, J. (2014). *80/20 report on local government in south africa: local government in 80 indicators after 20 years of democracy*. sa institute of race relations. Available at HYPERLINK "<http://irr.org.za/reports-and-publications/occasional-reports/files/the-80-20-report-on-local-government-26-may-2014-1.pdf>" [Accessed: 21 September 2015].

Alwin, D. F., & Krosnick, J. A. (1991). The reliability of survey attitude measurement: The influence of question and respondent attributes. *Sociological Methods and Research* 20, 139-181.

Alwin, D.F. (1992) Information transmission in the survey interview: number of response categories and the reliability of attitude measurement. *Sociological Methodology*, 22, 83–118.

Amos, T.L., Ristow, A.; Ristow, L. and Pearse, N.J. (2008). *Human resource management*. 3rd Edition. Cape Town: Juta and Co Ltd.

Andersen, L (2011). Influence of psychosocial work environment on adherence to workplace exercise. *Journal of occupational and environmental medicine*. 53(2):182-194.

Armitage, C. J., and Conner, M. (2001). Efficacy of the theory of planned behaviour: A meta-analytic review. *British journal of social psychology*. 40 (4):471-499.

Armstrong, M. (1995). *A handbook of performance management. An evidence-based guide to delivering high performance*, Fifth Edition. London: Kogan Page.

Armstrong, M. (2009). *A handbook of performance management. An evidence-based guide to delivering high performance*, Eleventh Edition. London: Kogan Page.

Auriacombe, C.J. (2001). *Guidelines for drawing up research proposals and preparing theses/dissertations*. Pretoria: University of South Africa.

Babbie, E. (2010). *The practice of social research*. United States: Wadsworth.

Babbie, E. & Mouton, J. (2003). *The practice of social research*. Cape Town: Oxford University Press.

Babbie, E. and Mouton, J. (2005). *The practice of social research*. South Africa. Oxford University Press

Babbie, E & Mouton, J. (2009). *The practice of social research*. Cape Town: Oxford University Press

Babbie, E. (2012). *The practice of social research*. 13th Edition. Belmont: Wadsworth Cengage Learning

Balogun, M.J. (2003). *Performance management and agency governance for Africa development: the search for common cause on excellence in the public service*. UNCEA, Addis Ababa

Bartol, K. M and D. C. Martin. (1994). *Management*. 2nd Ed. McGraw-Hill Inc.: New York.

Ben, L and Beth, S (1983). *Adherence to the merit principles in the workplace: federal employees' views*. U. S. Merit Systems Protection Board. Available: <http://www.mspb.gov/MSPBSEARCH/viewdocs.aspx?docnumber=253656andversion=253943andapplication=ACROBAT>. Accessed on 26 August 2016

Bishop, G. F. (1990). Issue involvement and response effects in public opinion surveys. *Public Opinion Quarterly*, 54, 209–218.

Bovee, C.L., Thill, J.V., Wood M.B. and G.P. Dovel (1993). *Management*. McGraw Hill Inc: New York.

Boyle, R. (2006). *Measuring Public Sector Productivity: Lessons from International Experience*. CPMR Discussion Paper 35. Institute of Public Administration (IPA). Ireland: Dublin.

Braun, V. and Clarke, V. (2006). Using thematic analysis in psychology. *Qualitative Research in Psychology*. 3(2):77-101.

Brick, J. Michael. (2011). The future of survey sampling. *Public Opinion Quarterly* 75(5):872–88

Broad Based Black Economic Empowerment Act No. 53 of 2003, Cape Town

Brennan, A. (2003). Necessary and sufficient conditions. *The Stanford Encyclopaedia of Philosophy* (Fall 2003 Edition), Edward N. Zalta (Ed.), <http://plato.stanford.edu/archives/fall2003/entries/necessary-sufficient/>.

Bryman, A. (2008) *Social Research Methods*. 3rd edition. Oxford: Oxford University Press.

Bryman, B. and Bell, E. (2007) *Business Research Methods*, 2nd ed., Oxford: Oxford University Press

Buchner, T. (2007). Performance Management theory: A look from the performers' perspective with implications for HRD. *Human Resources Development International*. 10(1):59-73.

Burns, N. and Grove, S. (2004). *The Practice of Nursing Research: Conduct, Critique, and Utilization*. 5th ed. Philadelphia, USA: Saunders.

Burns, J.P and Zhiren, Z (2010) Performance Management in the Government of the Peoples Republic of China: Accountability and Control in the Implementation of Public Policy. *OECD Journal on Budgeting*. Hong Kong

Byars, L.L. and L.W., Rue, L. (2006). *Human Resource Management*. New York: McGraw-Hill.

Chambliss, D. and Schutt, R. (2012). *Making Sense of the Social World: Methods of Investigation*. 4th Ed. London: SAGE Publications.

Chan, Y.L. (2004). Performance measurement and adoption of balanced scorecards: A survey of municipal governments in the USA and Canada. *International Journal of Public Sector Management*. 17(3): 204 – 221.

Charan, R., Drotter, S., and Noel, J. (2010). *The leadership pipeline: How to build the leadership powered company*. New York: John Wiley and Sons.

Chennell, A., Dransfield, S., & Field, J. (2000). *A System for Organisational Performance Measurement*. OPM University of Cambridge, 19-21.

Chiang, F. F. and Birtch, T. A. (2010). Appraising Performance across Borders: An Empirical Examination of the Purposes and Practices of Performance Appraisal in a Multi-Country Context. *Journal of Management Studies*. 47(7):1365-1393.

Chubb, C., Reilly, P. and Brown, D. (2011) *Performance Management: Literature Review*, Institute for Employment Studies, Retrieved from:
<http://www.employment-studies.co.uk/system/files/resources/files/mp90.pdf>

Collis, J. and Hussey, R. (2003). *Business Research – A practical guide to undergraduate and postgraduate students*. 2nd ed. London: Palgrave Macmillan.

Creswell, J. W., Klassen, A. C., Plano Clark, V. L., and Smith, K. C. (2011). *Best practices for mixed methods research in the health sciences*. Bethesda (Maryland): National Institutes of Health.

Creswell, J. W. (2009). *Research design: Qualitative, quantitative, and mixed methods approaches*. 3rd ed. Los Angeles: Sage Publications.

CSIR, (2009). *The State of Domestic Waste Management South Africa, 'Briefing Note'*, Available at:
http://www.csir.co.za/nre/docs/BriefingNote2009_1_waste_FINAL_Des_09.pdf
[Accessed: 21 July 2015].

Curristine, T., Zsuzsanna Lonti and Isabelle Joumard (2007) Improving Public Sector Efficiency: Challenges and Opportunities. *OECD Journal on Budgeting*. 7(1).

Curristine, T. Lonti, Z. & Joumard, I. (2007). Improving Public Sector Efficiency: Challenges and Opportunities. *OECD Journal on Budgeting*. 7(1): 1-41. 127

Curtis, D. (1999). Performance Management for participatory democracy: thoughts on the transformation process in South African local government. *International Journal of Public Sector Management*, 12 (03): 260-272.

Curry, L., Nembhard, I. and Bradley, E. (2009). Qualitative and Mixed Methods Provide Unique Contributions to Outcomes Research. *Circulation Journal*. 119:1442-1452.

Dai, G. & Teng, W. (2008). *Performance evaluation at local government level in China. A case of People's Municipal Government of Hangzhou (PMGH)*. Nottingham Trent University. Nottingham.

De Bruijn, H. (2007). *Managing Performance in the Public Sector*. Routledge. New York.

Denhardt, R. B. (2008). *Theories of public organisations*. 5th ed. Belmont, CA: Thomson Wadsworth.

DeNisi, A. S., and Pritchard, R. D. (2006). Performance appraisal, performance management and improving individual performance: A motivational framework. *Management and organisation Review*.2(2):253-277.

Denscombe, M. (2006). Web-based questionnaires: an assessment of the mode effect on the validity of data. *Social Science Computer Review*. 24(2):246-54.

Department of Environmental Affairs Republic of South Africa (2011) *Strategic Plan*, Available at: http://www.gov.za/sites/www.gov.za/files/env_Strat_plan_2011_2016_Combined_0.pdf [Accessed: 21st July 2015].

De Waal, A. & Counet. H. (2009). Lessons learned from performance management systems implementations. *International Journal of Productivity and Performance Management*. 58(4): 367-389.

Drakenstein Municipality. (2008). *Municipal Performance Management Framework*. Drakenstein Municipality. South Africa. Paarl.

Drakenstein Municipality (2012). *Performance Management Policy Framework*. South Africa.

Dransfield R. (2000). *Human Resource Management*. Johannesburg: Heinemann Publishers

Elo, S. & Kynga, S. H. (2008). The qualitative content analysis process Jan Research methodology. *Journal of Advanced Nursing* 62 (1), 107- 115

eThekwini Municipality. (2004). *Making City Strategy Come Alive: Experiences from eThekwini Municipality*

eThekwini Municipality. (2007/2008). *Service Delivery & Budget Implementation Plan*.

eThekwini Municipality (2006). *eThekwini Municipality Integrated Development Plan 2010, Communications Department, Durban, July*

eThekwini Municipality (2012). *eThekwini Municipality Performance Management System Framework*. Durban

eThekwini Municipality (2008). *eThekwini Municipality Annual Report 2007/2008*. Durban

eThekwini Municipality. (2011). *Organisational Performance*. Available from http://www.durban.gov.za/City_Government/Administration/city_manager/performance_management_unit/Organisational_Performance/Pages/default.aspx [Accessed: 26 October 2015]

eThekwini Performance Management System Framework Organisational Performance June 2008 (adopted by council on the 27th June 2008). Available at: http://www.durban.gov.za/Documents/City_Government/Performance_Management_Unit/Organisational%20Performance%20Framework.PDF [Accessed on 17 August 2015].

Fatile, J.O. (2014). Performance Management Systems and Productivity in the Public Sector: Wither African Public Administration. *Africa's Public Service Delivery and Performance Review*. 3(2):77-105.

Gains, F., Greasley, S., John, P. & Stoker, G. (2009). The impact of political leadership on organisational performance: Evidence from English urban government. *Local Government Studies*. 35(1): 75-94.

Goldblatt, H., Karnieli-Millerb, O., and Neumann, M. (2012). Sharing qualitative research findings with participants: Study experiences of methodological and ethical dilemmas. *Patient Education and Counselling*. 82(3):389–395.

Govender, I.G. (2013). Monitoring and Evaluation Systems for enhancing governance and government legitimacy in South Africa. *Journal of Public Administration*, 48(4): 811-823.

Gosselin, M (2005) "An empirical study of performance measurement in manufacturing firms", *International Journal of Productivity and Performance Management*, 54 (5/6).419-437

Gray, D. (2013) *Doing Research in the Real World*. 3rd Ed. London: Sage Publications.

Gregory, E. M., Feitosa, J., Driskel, T., & Salas, E. (2013). Designing, delivery, and evaluating team training in organizations: Principles that work. In E. Salas, S. Tunnenbaum, D. Kohen, and G. Latham (Eds.), *Developing and enhancing teamwork in organizations: Evidence based best practices and guidelines* (pp 403-435). San Francisco, CA: Jossey Bass

Gruening, G (2001). 'Origin and theoretical basis of new public management', *International Public Management Journal*, 4, pp. 1-25.

Haines, V. Y., & St-Onge, S. (2012). Performance Management Effectiveness: Practices of Context? *The International Journal of Human Resource Management*.

Harvard (2008). *Foundations of Qualitative Research in Education: Thematic Analysis*. [Online] Available at:
<http://isites.harvard.edu/icb/icb.do?keyword=qualitativeandpageid=icb.page340897>
[Accessed 21 December 2016].

Harris, O.J. (1976). *Managing People at Work: Concepts and Cases in Behaviour*. New York: John Wiley and Sons.

Harris, M.J (2010). *Evaluating Public and Community Health Programs San Francisco*, California: Jossey-Bass.

Hatry, H.P. (2001) "What Types of Performance Information Should be Tracked," in Dall W. Forsythe, ed., Quicker, Better, Cheaper? *Managing Performance in American Government*. Albany, N.Y.: Rockefeller Institute Press

Hicks, H.G. and Gullet, C.R. (1976). *Organisations: Theory and Behaviour*. McGraw Hill: Kogakusha Limited.

Hisbiscus Coast Municipality. (2012). "2012/2013 IDP" Hisbiscus: *Hisbiscus Coast Municipality*

Ho, PM. Magid, DJ. Shetterly, SM. (2008). Medication nonadherence is associated with a broad range of adverse outcomes in patients with coronary artery disease. *Am Heart Journal*. 155(4):772-779

Ho, PM. Magid, DJ. Shetterly, SM. (2008). Importance of therapy intensification and medication nonadherence for blood pressure control in patients with coronary disease. *Arch Intern Med.* 168(3):271-276.

Hofstee, E. (2006). *Constructing a good dissertation: A practical guide to finishing a Masters, MBA or PhD on schedule.* Johannesburg: EPE.

Holzer, M. & Kloby, K. (2005). Public performance measurement: An assessment of the state-of-the-art and models for citizen participation. *International Journal of Productivity and Performance Management.* 54 (7):517-531

Hughes O, Alford J. (2008). Public value Pragmatism as the Next Phase of Public Management. *The American Review of Public Administration.* 38(2):130-148.

Hughes O. (2003). *Public Management and Administration: An introduction.* New York: Palgrave Macmillan

Human Science Research Council (HSRC). (2008). *Policy process on the system of Provincial and Local Government: Catalogue and analysis of public submissions HSRC. 2005.* The Policy Brief on Public Sector Restructuring and Human Resource Management in Africa, Human Sciences Research Council: Pretoria, unpublished.

Ijeoma, E.O.C. (2010). Mainstreaming Government-Wide Monitoring and Evaluation policy in South Africa: An eye on impact assessment. *Journal of Public Administration.* 45(2):343-360.

Jaksic, M and Jaksic, M. (2013) Performance Management and Employee Satisfaction. *Montenegrin Journal of Economics.* 9(1):85-92.

Janties, A. (2008). *An Analysis of Organisation Performance Management in the City of Cape Town: From Legislation to Implementation.* Masters Dissertation. University of Stellenbosch Press.

Jessa, F (2012) *An Assessment of Organisational Performance Management at the Drakenstein and Stellenbosch Municipalities*. Master of Public Administration. School Stellenbosch University

Katsamunska, P (2009). *Classical and Modern Approaches to Public Administration. Public Administration and Regional Development*. University of National and World Economy. Bulgaria. Accessed from <https://pdfs.semanticscholar.org/aaac/9d45571a9bc74ca08c467fb3fb9b8991b541.pdf>

Katsamunska P. (2012). *Classical and Modern Approaches to Public Administration*. Economic Alternatives, issue 1, Department of public Administration and Regional Development, UNWE.

Keele, R. (2011). *Nursing Research and Evidence-Based Practice: Ten Steps to Success*. 1st ed. Burlington: Jones and Bartlett.

Keman, H. (1996) Political Institutions and Public Governance, in R. Czada, A. Hertier, and H. Keman, eds., *Institutions and Political Choice: The Limits of Rationality* (Amsterdam: VU Press)

Kgantlapane, P. S. (2009). *An Analysis of the Performance Management System: The Case of a Metropolitan Municipality*. Master of Business Administration dissertation, Potchefstroom Business School. Potchefstroom campus, North-West University. November 2009.

Khan, H. (2011). *A literature review of corporate governance*. International Conference on E-business, Management and Economics. New York.

Kirk, J. & Miller M. (1986). *Reliability, validity and qualitative research*. Beverly Hills CA: Sage

Kirk, J. and Miller, M.L (1989). *Reliability and Validity in Qualitative Research: Qualitative research methods series 1*. Sage: New Delhi.

Kloot, L & Martin, J (2000). 'Strategic performance management: A balanced approach to performance management issues in local government', *Management Accounting Research*. 11, pp. 231-51.

Krause, S. (2005) Research Paradigms and Meaning Making: A Primer. *The Qualitative Report*. 10(4):758-770.

Kripalani. S, Yao. X, Haynes, R. B. (2007). Interventions to enhance medication adherence in chronic medical conditions: a systematic review. *Archives of International Medicine*. 167(6):540-550.

Koontz, H. O'Donnell, C and Wehrich, H. (1984). *Management. McGraw-Hill series in management Series in Thermal and Fluids Engineering*. McGraw Hill Inc: New York

Leedy, P.D. & Ormond, J.E. (2001). *Planning and design: Practical research*. (7th ed.) New Jersey: Prentice Hall.

Lietz, C. and Zayas, L. (2010). Evaluating Qualitative Research for Social Work Practitioners. *Advances in Social Work*. 11(2):188-202.

Levesque, R. (2007). *SPSS Programming and Data Management: A Guide for SPSS and SAS Users* (4th ed.). Chicago, Illinois: SPSS Inc

Lee, M and Son, B. (1998) The Effects of Appraisal Review Content on Employees' Reaction and Performance. *International Journal of Human Resource Management*
Kolb, B. (2008). *Marketing Research: A practical Approach*. London: Sage Publications.

Letsoalo, M.B. (2007). *An evaluation of Performance Management in the Public Service*. Masters Dissertation. University of Johannesburg

Linna, P., Pekkola, S., Ukko, J. & Melkas, H. (2010.) Defining and measuring productivity in the public sector: Managerial perceptions. *International Journal of Public Sector Management*. 23(3):300-320.

Low, J.K. Crawford, K., Manias, E. and Williams, A. (2016). A compilation of consumers' stories: the development of a video to enhance medication adherence in newly transplanted kidney recipients. *Journal of Advanced Nursing*. 72(4):813-24

Lukhanji Municipality (2013). *Performance Management Report. Lukhanji Managing and Measuring Performance in the Public Service in Commonwealth Africa*. Report of the Sixth Commonwealth Forum of Heads of African Public Services Mahe, Seychelles 13-15 July 2009.

Luftey, K. and Wishner, W. (1999). Beyond "compliance" is "adherence". Improving the prospect of diabetes care. *Journal of Diabetes Care*. 22 (4). Available on: <http://care.diabetesjournals.org/content/diacare/22/4/635.full.pdf>

Accessed on 20 August 2016

Manyaka, R.K and Sebola, M.P. (2012). Impact of performance management on service delivery in the South African Public Service: *Journal of Public Administration*. 47(1.1):299-310.

Maila, H.M. (2006). *Performance management and service delivery in the Department of Water Affairs and Forestry (DWAF)*. Unpublished MTech Dissertation. Pretoria: University of South Africa.

Maphunye, K.J (2009). *Public Administration for a Democratic Developmental State in Africa: Prospects and Possibilities*. Centre for Policy Studies. Johannesburg

Marie-Schneider, P and Aslani, P. (2010). Adherence policy, education and practice – an international perspective. *Journal of Pharmacy Practice*. (8) 4:41-53.

Matshiqi, A. (2007). *Public Service Performance: Towards a better life for all*. Centre for Policy Studies: Pretoria.

Martin, G. (2002). *Africa in world politics: A pan-African perspective*, Africa World Press: Trenton, NJ.

Mathers N, Fox N. and Hunn A (2009). *Surveys and Questionnaires*. The NIHR RDS for the East Midlands / Yorkshire & the Humber

Martin, G. (2002). Africa in world politics: A pan-African perspective, *Africa World Press*: Trenton, NJ.

Maslow, A. (1943). A theory of human motivation. *Psychological Review*, 50(1943), 370-96

Messah, O.B. and Kariuki, F.K. (2011). Factors Affecting Implementation of Performance Contract Initiative at Municipal Council of Maua-Kenya. *Research Journal of Finance and Accounting*. 2(2):22-31.

Meyer, John W., and Richard Scott. (1983). *Organizational Environments: Ritual and Rationality*. Beverly Hills, CA: Sage

Mofolo, M., Mkuyane, L. and Skade, T. (2014). Actions and Behaviours Essential for Monitoring and Evaluation to Succeed in South African Public Service. *Africa's Public Service Delivery and Performance Review*. 3(2):5-24.

Moore, P. (1985). *Public personnel management: A contingency approach*. Canada: Lexington Books.

Munger, MA. Van Tassell BW, LaFleur J. (2007). Medication nonadherence: an unrecognized cardiovascular risk factor. *Journal of Medical General Medicine*. 9(3):58-67.

Munzhedzi, P.H. (2011). *Performance Management System and Improved Productivity: A Case of the Department of Local Government and Housing in the Limpopo Province*. Masters Dissertation in Public Administration. University of South Africa..

Myers, K, and McPhee, R (2006). Influences on Member Assimilation in Workgroups in High-Reliability Organizations: A Multilevel Analysis. Human Communication Research. Wiley Online Library

Naidoo, K. (2007). *An Analysis of Municipal Solid Waste Management in South Africa using the Msunduzi Municipality as a case study*. Masters Dissertation, University of KwaZulu-Natal Press.

Najeeb, A. (2014). Institutional theory and human resource management. In H. Hasan (Eds.), *Being Practical with Theory: A Window into Business Research* (pp. 25-30). Wollongong, Australia

National Council on Patient Information and Education. Enhancing Prescription Medicine Adherence: A National Action Plan. (2007).
http://www.talkaboutrx.org/documents/enhancing_prescription_medicine_adherence.pdf [Accessed on 26 August 2016].

National Treasury. (2007). *Framework for Managing Programme Performance Information*. Pretoria: Government Pretoria.

Neely, A, Gregory, M. And Platts, K. (1995). Performance measurement system design: a literature review and research agenda", *International Journal of Operations & Production Management*, 15 No. 4, pp. 80-116.

Nils-Goran, O. (2000). *Performance Drives: A Practical Guide to using the Balanced Scorecard*. New York: John Wiley and Sons Ltd.

Nchukwe, F.F. and Adejuwon, K.A. (2014). Agencification of Public Service Delivery in Developing Societies: Experience of Pakistan and Tanzania Agency Models. *Africa's Public Service Delivery and Performance Review*. 2(3):106-124.

Ngwenya, S.J (2014) *Performance Management System as a Tool for Promoting Effective Waste Control: The Case of Emfuleni Local Municipality*. Masters Degree of Development and Management. North-West University

Ogunbameru, D.A. (2004). *Management Theory Module BHM 712*. National Open University of Nigeria. School of Management Sciences. University Press: Abuja.

Olufemi, F.J. (2014). Performance Management Systems and Productivity in the Public Sector: Wither African Public Administration. *Africa's Public Service Delivery and Performance Review*. 2(3):77-105.

Ormron J.E. and Leedy P.D, (2005) Practical research: planning and design. *American Journal of Psychology*. 3(5):48-57.

Osterberg, L. and Blaschke, T. (2005). Adherence to medication. *New England Journal of Medicine*. 353(5):487-497.

Paauwe, J& Boselie, P (2003) 'Challenging 'Strategic HRM' and the Relevance of the Institutional Setting', *Human Resource Management Journal*. 13 (3), pp. 56-70

Pack, H; Page, J; Sabor, R; Stiglitz, J.E. (1993). *Main report. A World Bank policy research report*. New York, New York : Oxford University Press.

Paile, N.J. (2012). *Staff Perceptions of the Implementation of a Performance Management and Development System: Father Smangaliso Mkhatswa Case Study*. Masters Dissertation. Master of Public Administration at the University of South Africa. June 2012.

Parker, D. K. and Waller H. Xu (2013). Private and Public Services: Productivity and Performance Migration. *International Journal of Productivity and Performance Management*. 62(6):652-664.

Pedersen, M.M., Zebis, M.K., Langberg. H., Poulsen, O.M., Mortensen, O.S., Jensen, J.N., Sjøgaard, G., Bredahl. T. and Andersen, L.L. (2013). Influence of self-efficacy on compliance to workplace exercise. *International Journal of Behaviour Medicine*. 20(3):365-70.

Peters, B. G. (2000) Institutional Theory and Public Organizations, in G. Morand and P. Knopfel. eds., *Essays in Memory of Raimund Germann*

Pietermaritzburg Municipality (2015) *eThekweni Municipality Performance Management System Framework*

Pfiffner J.P. (2004). *Traditional Public Administration versus the New Public Administration Management: Accountability versus Efficiency*. Berlin, Germany: Duncker and Humbolt.

Potgieter, L (2009). Performance Management. Accessed from www.pmia.org.au/white/appvperf.pdf

Powell, W. & Colyvas, J. (2008). Micro-foundations of institutional theory. In: *Handbook of organizational institutionalism*, Greenwood, R., Oliver, C., Sahlin-Andersson, K. & Suddaby, R. (Eds), 276-98, Sage Publishing: Thousand Oaks, CA.

Prasad, L. (2010) *Human Resource Management* (Sultan Chand & Sons: Educational Publishers

Public Service Commission. (2007). *Guide on Performance Management for Social Development Departments*. Pretoria: Government Printer.

Quinn, K. (2010) How Business Intelligence Makes Performance Management Work, *Business Intelligence Journal*, 15, (1), 2010. pp. 8-16.

Remenyi, D., Williams, B., Money, A. & Swartz, E. (1998). *Doing research in business and management, an introduction to process and method*, London:Sage Publications.

Roos, M. (2009). *Performance Management within the Parameters of the PFMA*. Unpublished. M.Comm dissertation. Pretoria: University of South Africa.

Rothberg, A.F. & Morrison, C. 2012. *Performance Measurement: Understanding Critical Success factors*, CFO Edge, LLC and Resource Planning Solutions Corporation.

Redman, T. (2001), Performance appraisal. In T. Redman., & A. Wilkinson (Eds.). *Contemporary Human Resource Management* (pp. 57-95). Pearson Education, Harlow

Sabatier, P.A. (1986). Top-down and bottom-up approaches to implementation research: a critical analysis and suggested synthesis. *Journal of Public Policy*. 6(1): 21-48.

Sapsford, R & Jupp, V. (2006). *Data collection and analysis*. London: SAGE publications Ltd.

Sarros, A.M. and Sarros, J.C. (2007). The First 100 Days: Leadership Challenges of a New CEO. *Educational Management Administration and Leadership*. 35(3):349-379.

Saunders, M. Lewis, P, and Thornhill, A. (2007). *Research methods for business students*. 4th ed. Essex: Prentice Hall.

Sebashe, S.S. and Mtapuri, O. (2011). Implementation of a performance management system: a case study of Ba-Phalaborwa Municipality in Limpopo. *Journal of Public Administration*. 46(4):1323-1337.

Shamoo, A.E., Resnik, B.R. (2003). *Responsible Conduct of Research*. Oxford University Press.

Shaout, A. & Yousif, M., (2014). Performance Evaluation Methods and Techniques Survey. *International Journal of Computer and Information Technology*, 3(5), pp.966–979

Shenton, A. (2004) Strategies for ensuring trustworthiness in qualitative research projects. *Education for Information*. 22:63-75.

Sherman, B., Frazee, S., Fabius, R., Broome, J., Manfred, J. and Davis, J. (2009). Impact of Workplace Health Services on Adherence to Chronic Medications. *The American Journal of Managed Care*. 15(7):33-40.

Simelane, T. (2012). *To what extent are cities influenced by rural urban relationships in Africa*.

Simpson, H. (2006). Productivity in public services. Working Paper No. 07/164. *Journal of Economic Surveys* 23.

Simpson, S.H., Eurich, D.T., Majumdar, S.R., (2006). A meta-analysis of the association between adherence to drug therapy and mortality. *British Medical Journal*. 3(33):75-87.

Singh, R.K. (2011). Developing the framework for coordination in supply chain of SMEs. *Business Process Management Journal*. 17(4):619-638.

South African Local Government and Housing Strategic Plan (2010). *South African Local Government and Housing Strategic Plan for 2009-2014*. Gauteng. Accessed on http://www.gautengonline.gov.za/Publications%20and%20Reports/Local_Govt_Housing_Strategic_Plan_2009_2014.pdf

South African Local Government Association (SALGA). (2013). *Toolkit: Implementing a basic performance management system for municipalities*. SALGA Performance Management Series Volume1. South Africa. Pretoria

South African Institute of Race Relations (SAIRR). (2009). *Local government and the poverty challenge: Supplement to the South African survey 2008/2009*. South African Institute of Race Relations. South Africa. Johannesburg

South African Institute of Race Relations (2014) *80/20 Report on Local Government in South Africa. Local Government in 80 Indicators After 20 Years of Democracy*. Accessed from <http://irr.org.za/reports-and-publications/occasional-reports/files/the-80-20-report-on-local-government-26-may-2014-1.pdf>

South African Local Government Association. (2011). *Guidelines Document on the Roles and Responsibilities of Councillors, Political Structures and Officials*. Available from: www.salga.org.za.

South African Local Government Association. (2013). *20 Year Review of Local Government*. www.salga.org.za.

South African Local Government Association (SLGA), *2013/14 Annual Report*. www.salga.org.za

South Africa Yearbook 2013/14. *Government Systems*. Available at: http://www.gcis.gov.za/sites/www.gcis.gov.za/files/docs/resourcecentre/yearbook/2013-4Government_System.pdf [Accessed on 17 August 2015]

STATSSA (2014). *Sanitation and Refuse Removal, General Household Survey*, Available at: <http://www.statssa.gov.za/publications/P0318/P03182013.pdf> Accessed: 21st July 2015.

Strauss, A. (2008). *Qualitative analysis for social scientists*. New York: Cambridge University Press.

Streubert-Speziale, H. and Carpenter, D. (2003). *Qualitative research in nursing: Advancing the humanistic imperative*. 3rd Ed. Philadelphia: Lippincott Williams and Wilkins.

Stewart, G. and Gable, G. (1999) *Applying Case Study Research Methods in Post-graduate Studies in ERP Implementations Institute of Higher Learning SAPPHIRE* Singapore 2000

Suchman, M (1995) 'Managing Legitimacy: Strategic and Institutional Approaches', *Academy of Management Review*, 20, (3), pp. 571-610.

Taylor, F.T. (2011). *The Principles of Scientific Management*. New York: Harper Bros.

The Rand Corporation (2009). *Performance Audit Handbook: Routes to effective evaluation*. Cambridge: UK

The White Paper on Local Government 9 March 1998. Government of South Africa. Available at: http://led.co.za/sites/default/files/White_Paper_0.pdf [Accessed on 17 August 2015].

Tudor-Locke, C. Hendrick, C. Duet, M. Swift, D. Schuna, J. Martin, C, Johnson, W. and Church, T. (2014). Implementation and adherence issues in a workplace treadmill desk intervention. *Journal of Applied Physiology, Nutrition, and Metabolism*. 39(10):55-67.

Turner, D. W., III (2010). Qualitative interview design: A practical guide for novice investigators. *The Qualitative Report*. 15(3):754-760. Retrieved from: <http://www.nova.edu/ssss/QR/QR15-3/qid.pdf>

Tyler, T. (2005). Promoting Employee Policy Adherence and Rule Following in Work Settings: The Value of Self-Regulatory Approaches. *Brooklyn Law Review*. 1287-1312.

Umdoni Municipality (2012) *Umdoni Municipality Annual Report 2013/2014*. Umdoni

Umtshezi Municipality. (2011). *2010/2011 IDP Report. Umtshezi: Umtshezi Municipality.*

Umdoni Municipality Annual Report July 2012–June 2013. Available at:<http://www.umdoni.gov.za/docs/reports/2013/UMdoniAR12-13.pdf> [Accessed on 17 August 2015, and on 22 September 2015].

Umdoni Municipality (2014) *The Jewel of the South Coast*. Available at: <http://www.umdoni.gov.za/docs/idp/2014/UMdoniIDP13-14.pdf> [Accessed on 17 August 2015].

Umdoni Municipality Annual Report (2011-2012). Available at: <http://mfma.treasury.gov.za/Documents/06.%20Annual%20Reports/2011-12/02.%20Local%20municipalities/KZN212%20Umdoni/KZN212%20Umdoni%20Annual%20Report%202011-12.pdf> [Accessed on 22 September 2015].

Umdoni Municipality *Annual Report* (2013-2014). Available at: <http://mfma.treasury.gov.za/Documents/06.%20Annual%20Reports/2013-14/02.%20Local%20municipalities/KZN212%20Umdoni/KZN212%20Umdoni%20Annual%20Report%202013-14.pdf> [Accessed on 22 September 2015].

Umdoni Municipality *Annual Report* (2014-2015). Available at: <http://mfma.treasury.gov.za/Documents/06.%20Annual%20Reports/2014-15/02.%20Local%20municipalities/KZN212%20Umdoni/KZN212%20Umdoni%20Annual%20Report%202014-15.pdf> [Accessed on 22 September 2015].

Umdoni Municipality *Annual Report* (2015-2016). Available at: <http://mfma.treasury.gov.za/Documents/06.%20Annual%20Reports/2015-16/02.%20Local%20municipalities/KZN212%20Umdoni/KZN212%20Umdoni%20Annual%20Report%202015-16.pdf> [Accessed on 22 September 2015].

Umdoni Municipality (2015) *Umdoni Municipality Final Integrated Development Plan*.

Available at:

<http://www.umdoni.gov.za/docs/idp/2014/UMdonilDP13-14.pdf> [Accessed 22 September 2015].

Umdoni Municipality (2008) *Performance Management System Framework Organisational Performance*. Adopted by council on the 27th June 2008. Available at:

http://www.durban.gov.za/Documents/City_Government/Performance_Management_Unit/Organisational%20Performance%20Framework.pdf [Accessed on 21 July 2015]

Van der Walddt, G. (2004). *Managing Performance in the Public Sector: Concepts, Considerations and Challenges*. Lansdowne: Juta.

Van De Merwe, J. (2012) *Revisions to the Integrated Development Plan for 2011-2012*. Swartland Municipality

Wanyama, E.S. (2013). *Effective strategies of managing generation “y” teachers in public secondary schools in Kenya: the case of Khwisero Sub-County*. Doctoral dissertation.

Walker R M. 2000. The Changing management of Social Housing: The Impact of Externalization and Managerialisation. Department of City and Regional Planning, Cardiff University. *Housing Studies*. 15(2):281-299.

Weimer, D. L. (1995) *Institutional Design* (Dordrecht: Kluwer).

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

Western Cape Department of Local Government. (2014). *Consolidated Annual Municipal Performance Report 2013/2014*.

Westonaria Local Municipality (2010). *2009/2010 IDP*. Westonaria

Wiid, J. and Diggins, C. (2010). *Marketing Research*. Cape Town: Juta Academic.

Williams, A, Manias, E. and Walker, R. (2008). Interventions to improve medication adherence in people with multiple chronic conditions: A systematic review. *Journal of Advanced Nursing*. 63(2):132-43

World Bank (2005). *Public Services Delivery. Public Sector, Governance and Accountability Series*. World Bank: Washington DC.

Zvavahera, P. (2013). An Evaluation of the Effectiveness of Performance Management Systems on Service Delivery in the Zimbabwean Civil Service. *Journal of Management and Marketing Research*. 4(6):1-8.

Legislations

Municipal Finance Management Act. (2003). Pretoria: Government Gazette.

MFMA Circular No. 13. *Service delivery and budget implementation plan. Municipal finance management act no. 56 of 2003*. National treasury

Municipal Planning and Performance Management Regulations, 2001

White Paper on Local Government. (1998). Pretoria: Government Gazette.

Municipal Performance Management Regulations for Municipal Managers and Managers directly accountable to Municipal Manager. (2006). Pretoria: Government Gazette.

Local Government Municipal Structures Act. (1998). Pretoria: Government Gazette.

Local Government Municipal Systems Act. (2000). Pretoria: Government Gazette.

State of Local Government in South Africa: Overview report. (2009). *The Department of Cooperative Governance and Traditional Affairs.*

Strategic Plan 2009-2014. The Presidency

Republic of South Africa. 1994. *Public Service Act No of: 1994* Pretoria: Government printers.

Republic of South Africa.(1996). *Constitution of the Republic of South Africa Act No 108 of 1996*, Pretoria: Government printers.

Republic of South Africa. (2001). *Public Service Regulations of 2001, Regulation VIII B.I* : Pretoria: Government printers.

Republic of South Africa. (2004). *Social Assistance Act No 13 of 2004*: Pretoria: Government printers.

Republic South Africa. (1994). *Public Service Act no 103 of 1994*. Pretoria Government Printers

Republic of South Africa.(1996). *Constitution of Republic of South Africa Act no 108 of 1996*. Pretoria. Government Printers

Republic of South Africa.1999. *Public Financial Management Act no 1 of 1999*. Pretoria. Government Printers

Republic of South Africa. 2000. *National Treasury 2000: Guide for Accounting Officers: Public Finance Management Act*. Pretoria: Government Printers.

Republic of South Africa. 2001. *Public Service Regulations*. Pretoria. Government Printers.

Republic of South Africa. 2003. *Office of the Public Service Commission: Rules for Dealing with the Grievances of Employees in the Public Service*. Pretoria: Government Printers.

Republic of South Africa.1997: *White Paper on Human Resource Management in the Public Service*. Pretoria: Government Printers.

The White Paper on Local Government. (1998). Pretoria: Government Printers.

The White Paper on Transforming Public Service Delivery (Batho Pele White Paper). (1997). Pretoria: Government Printers.

The White Paper on Human Resource management in the Public Service. (1997). Pretoria: Government Printers.

APPENDIX 1: ETHICAL CLEARANCE LETTER



05 February 2016

Mr Sibusiso Wycliff Mkhize (200001537)
School of Management, IT & Governance
Westville Campus

Dear Mr Mkhize,

Protocol reference number: HSS/1791/015M

Project title: Adherence to Performance Management System Framework by the Solid Waste Management Division within the Umdoni Municipality

Full Approval – Expedited Approval

In response to your application dated 04 December 2015, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol have been granted **FULL APPROVAL**.


Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

Please note: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully



.....
Dr Shenuka Singh (Chair)
/ms

cc Supervisor: Professor Thokozani I Nzimakwe
cc Academic Leader Research: Professor Brian McArthur
cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee

Dr Shenuka Singh (Chair)

Westville Campus, Govan Mbeki Building

Postal Address: Private Bag X54001, Durban 4000

Telephone: +27 (0) 31 260 3587/83504657 Facsimile: +27 (0) 31 260 4600 Email: yimbap@ukzn.ac.za / gsr@ukzn.ac.za / mshunq@ukzn.ac.za

Website: www.ukzn.ac.za


1916 - 2016
100 YEARS OF ACADEMIC EXCELLENCE

Fouring Campuses:  Edgewood  Howard College  Marjol School  Pietermaritzburg  Westville

APPENDIX 2: GATEKEEPER'S LETTER



UMDONI MUNICIPALITY

THE J.E.W.E.L. OF THE SOUTH COAST

Postal Address:
PO Box 19
Scottburgh
4180

Physical Address:
Cnr Bram Fischer & Williamson Street
Scottburgh
4180

Tel: 039 – 976 1202
Fax: 039- 976 2044

OFFICE OF THE MUNICIPAL MANAGER

Ref No: MM : Research:SW Mkhize
Delivered: Fax / Email

Date: 26 October 2015
Enquiries: Mr XS Luthuli

The University of Kwa-Zulu Natal
School of Management, IT and Governance
Westville
Durban

Dear sir / madam

APPROVAL TO CONDUCT A RESEARCH PROJECT

This letter serves to confirm that Mr S.W Mkhize, student number 20001537, has been granted permission to conduct his research on the topic titled: Adherence to performance Management System by the Solid Waste Management Division within Umdoni Municipality.

We commit our full support in order for him to complete his research and add a meaningful contribution to both the academic domain and the public sector.

Yours Sincerely


X LUTHULI
MUNICIPAL MANAGER

APPENDIX 3: CONSENT FORM

UNIVERSITY OF KWAZULU-NATAL
School of Management, I T and Governance

MPA Research Project

Researcher: S W Mkhize (082 627 7721)

Supervisor: Dr TI Nzimakwe Name (031 260 2606)

Research Office : Ms. M Snyman (031 260 8350)

Dear Respondent,

I, Sibusiso Wycliffe Mkhize (200001537) a Master of Public Administration (MPA) student, at the School of Management, IT and Governance, of the University of Kwazulu Natal. You are invited to participate in a research project entitled "*Adherence to performance management system by the solid waste management division within the Umdoni Municipality*".

The aim of this study is to assess the adherence to performance management system within the Umdoni Municipality.

Through your participation I hope to understand to what extent does the waste management division of Umdoni Municipality to adhere to the performance management prescripts and how performance management can be used to enhance service delivery The results of the survey are intended to contribute to better management systems and service delivery.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence.

There will be no monetary gain from participating in this survey. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, I T and Governance, UKZN.

If you have any questions or concerns about completing the interview or about participating in this study, you may contact me or my supervisor at the numbers listed above.

This interview should take about twenty minutes to complete.

Sincerely

Researchers's signature _____ Date _____

UNIVERSITY OF KWAZULU-NATAL
School of Management, I T and Governance

MPA Research Project

Researcher: S W Mkhize (082 627 7721)
Supervisor: Dr TI Nzimakwe Name (031 260 2606)
Research Office: Ms. M Snyman (031 260 8350)

CONSENT

I.....(full names of participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

I hereby consent / do not consent to have this interview recorded

.....
SIGNATURE OF PARTICIPANT

.....
DATE

APPENDIX 4: QUESTIONNAIRE

Section A: Biographical Information

PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK

A1	What Gender are you ?	Male	Female
		(01)	(02)

A2	In which age group do you fall ?	-19	20-29	30-29	40-49	50-59	60+
		(1)	(2)	(3)	(4)	(5)	(6)

A3	What is your marital status	Single	Married	Divorced	Windowed	Living together
		(1)	(2)	(3)	(4)	(5)

A4	What is your race ?	African	Indian	Coloured	White	Other
		(01)	(02)	(03)	(04)	(05)

A5	How many years have you worked in this organization ?	0-1	01-05	06-10	11-15	16 + more years
		(01)	(02)	(03)	(04)	(05)

A6	Employment Type	Permanent employee	Contract employee
		(01)	(02)

Section A: Biographical Information: Part

A7	Indicate your highest academic qualification	
(1)	Matriculation	
(2)	Diploma	
(3)	University Degree	
(4)	Honors/Post Graduate Diploma/BTech	
(5)	Masters/Doctorate	
(6)	Other (Please specify)	

A.8	Employment Category	
(1)	Refuse Collection General worker	
(2)	Manager	
(3)	Director	
(4)	Mayor	

Section B

Please rate the following on a scale 1 to 5. 1 is Do not know and 5 is Absolutely true

The Following questions will evaluate the alignment of the PMS of the Umdoni Municipality to the organisational strategy Integrated Development Plan.

PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK

1 = Strongly Disagree 2= Disagree 3= Neutral 4= Agree 5= Strongly agree	1	2	3	4	5
The Municipality has a performance management system which is guided by its vision.					
Targets of the Umdoni Municipality are aligned with the municipal organizational goals.					
Performance targets are informed by the Integrated Development Plan.					
Reaching targets forms part of the culture of Umdoni.					
Continuous learning is a norm at Umdoni municipality.					

Section C

Please rate the following on a scale 1 to 5. 1 is Do not know and 5 is Absolutely true

The Following questions will evaluate the current application of the PMS principles at the Umdoni Municipality. **PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK.**

1 = Do not know 2= Not True at all 3= Slightly true 4=True in most cases 5= Absolutely true	1	2	3	4	5
Performance is evaluated in an appropriate way which reflect to the specific functions of the job					
The Performance Management System provides for detailed guidance to employees about what is expected of them.					
The performance evaluation system distinguishes between effective and ineffective staff.					
Communications regarding my performance are effective.					
The performance of employees is evaluated frequently.					
Employees can go through an appeals process, through which employees can challenge unjust and/or incorrect decisions of their performance.					
Supervisors find it easy to measure whether performance targets have been reached or not.					

Section D

Please rate the following on a scale 1 to 5. 1 is Do not know and 5 is Absolutely true

The Following questions will evaluate the personal opinions of employees regarding the benefits of the use of PMS at the Umdoni Municipality. **PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK**

1 = Do not know 2= Not True at all 3= Slightly true 4=True in most cases 5= Absolutely true	1	2	3	4	5
Performance management practice contributes to improved performance.					
The Umdoni Municipality PMS provide continuous training and development.					
PMS derives benefits for Umdoni Municipality.					
PMS of Umdoni Municipality addresses staff morals.					
The Umdoni Municipality excels because of the proper implementation of PMS.					

Section E

The Following questions will determine the obstacles which can hamper or prevent the effective application of PMS at the Umdoni Municipality. **(PLEASE INDICATE YOUR ANSWER BY MAKING A CROSS (x) IN THE APPROPRIATE BLOCK.**

1 = Do not know 2= Not True at all 3= Slightly true 4=True in most cases 5= Absolutely true	1	2	3	4	5
Supervisors often provide individual feedback.					
The Umdoni Performance Management System is consistent process.					
The information communicated in the performance management review is reliable.					
The Performance Appraisal meeting a two-way communication process.					
Everyone understand how PMS works					
Management is doing enough to solve problems facing PMS implementation.					
Political leadership supports PMS.					