A study of Performance Management at UKZN's School of Built Environment and Development Studies

A dissertation submitted to the University of KwaZulu-Natal, School of Management, IT and Governance, in the partial fulfilment of the degree of Masters in Human Resources management

Bright Sipho Mkhize

Student Number: 215080936

Supervisor: Dr Trishana Ramluckan

August 2019

DECLARATION

I, Bright Sipho Mkhize, declare that:

(i) The research reported in this dissertation, except where otherwise indicated, is my original research.

(ii) This dissertation has not been submitted for any degree or examination at any other university.

(iii) This dissertation does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.

(iv) This dissertation does not contain other persons' writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted they are acknowledged.

_____   _____

Bright Sipho Mkhize   Date

DEDICATION

This dissertation is dedicated to Mandlenkosi "Skobhosokhozi" Bhekamakhize, Sembo Sibusiso, Jabulane Mkhize Maphocweni and Gilbert "Mantabeni" Mkhize. May your souls rest in peace.

ACKNOWLEDGEMENT

ABSTRACT

Background: Performance management is about the whole process of monitoring and evaluating the performance of employees. Armstrong & Baron (1998, cited in Kiragu et al., 2006) it is also about giving appropriate feedback, whether positive or negative, to individual employees, with the intention of improving their performance. At the University of KwaZulu-Natal, individual employees create performance agreements which are their key performance areas that are linked to their job descriptions, and also to the goals of the University. The Line Managers and employees both need to agree on these, because it then requires the employee to be working towards achieving these in a particular performance cycle. During the performance cycle, it is required that the Line Manager monitors the performance of the employee and, if there are things to be improved upon, then the employee should be informed of such. Employees need to be encouraged to do better throughout the cycle.

Aim: The aim of this study was to describe the perception of the academic staff of the performance management system in the School of Built Environment and Development Studies at a selected University in KZN.

Methodology: The researcher used qualitative research for this study. The reason for choosing this research method was because the researcher wanted to describe the academic staff perception of the performance management system at a selected University in KZN. The researcher collected evidence on performance management and the impact this had especially in the higher education sector. This was done through structured interviews, the use of available university information (performance management system information available to the human resources department) and observations.

Findings: The results from this study indicated that the performance management system was perceived as a system to capture the monitoring of staff performance, check employees' quality, assess research output, and employees' evaluation. Although performance management was positively perceived by academic staff, several challenges were reported to hinder effective implementation of performance management, and they included insufficient knowledge and skill on performance management, lack of on-the-job training or workshops, challenges in rating the staff in performance management, ineffective use of the institution guidelines on performance management.

Conclusion and recommendations: The impact of effective performance management on the institutional success is pivotal. It is essential that institutions ensure that academic staff is well trained and prepared to meet the demands brought by new innovative approaches.

ABBREVIATIONS

KPAs: Key Performance Areas

PDP: Personal Development Plan

PMS: Performance Management System

UCDP: University Capacity Development Programme

UIEP: University Induction Extended Programme

UKZN: University of KwaZulu-Natal

TABLE OF CONTENTS

LIST OF ANNEXURES

LIST OF FIGURES

LIST OF TABLES

CHAPTER 1

OVERVIEW OF THE STUDY

1.1 INTRODUCTION

The main objective of this study was to explore the perception of academic staff towards the performance management system (PMS) implemented at a selected University in KwaZulu-Natal. Additionally, it sought to examine the origins of the concept of "performance management," define the concept, explain the methods used for performance management, the nature and content of a PMS, identify the steps to be followed in engaging in such a system, identify the purposes and benefits of implementation, identify the general problems encountered in the implementation, propose recommendations to improve implementation and suggest areas for further research.

The introductory chapter covers the background and rationale for the study, the research problem and questions, research aim and objectives, scope, conceptualisation of key concepts, a brief overview of the research design and methodology used, editing and referencing, study sequence and summary.

1.2 BACKGROUND AND RATIONALE

The PMS at the University of KwaZulu-Natal (UKZN) was implemented in 2010 and the College of Humanities was chosen as a pilot site. The system has since been implemented throughout the university and it is now fully functional.

The researcher has personally observed and has also seen reports which show that the School of Built Environment and Development Studies is not performing adequately. The problem is mostly with the academics in the school, rather than the support staff. There is talk that the morale of the academics is low, and employees talk about the culture of the organization not being conducive for them to do the work, hence the researcher decided to embark on this study.

Performance Management is the method by which managers make sure that activities and productivity of their employees are in line with the objectives of the organisation (Kiragu et al., 2006). The PMS is divided into three parts. These include the definition of performance, how performance is measured, and giving appropriate feedback to the individual employees

concerned. The achievement of a successful PMS rests on making sure employees grasp the vision of the organisation, collecting information on employee performance, managing the information and using that information to develop an individual's and the organisation's performance (Kiragu & Mutahaba, 2006).

Armstrong & Baron (1998, cited in Kiragu et al., 2006) refer to performance management to a tactical and incorporated approach to bringing continuous achievement to organizations by developing the performance of people who work in them, and by improving the competencies of teams and individual donors. The whole process should be driven and owned by line managers. This process would never be successful without the leaders in an organization taking the initiative in making sure that it works. Performance management is about the whole process of monitoring and evaluating the performance of employees. It is also about giving appropriate feedback, whether positive or negative, to individual employees, with the intention of improving their performance (Kiragu & Mutahaba, 2006). At UKZN, individual employees accept performance agreements which are their key performance areas (KPAs) that are linked to their job descriptions, and also to the goals of the University. The line managers and employees both need to agree on these, because it then requires the employee to be working towards achieving them in a particular performance cycle. During the performance cycle, it is required that the line manager monitors the performance of the employee, and if there are things to be improved upon, then the employee should be informed of such. Employees need to be encouraged to do better throughout the cycle (Kiragu & Mutahaba, 2006).

It is also important that whilst goals are set, both the employee and the line manager agree on the individual's Personal Developmental Plan (PDP) and monitor to see that the plan is followed through. Performance management is not only about improving personal performance, but the performance of the entire organization and, at the same time, retaining top performers, improving customer satisfaction and encouraging employee engagement (Kiragu & Mutahaba, 2006). The School of Built Environment and Development Studies that was used for this study is located in the Howard College campus, which is one of the four campuses at the UKZN. There are six disciplines under the school, which are Architecture, Planning, Housing, Development Studies, Population Studies and Community Development. The study concentrated on academics in the school, i.e. from the lecturers to the professors.

Performance management literature indicated that the implementation of a PMS remains a major challenge or difficulty (Kiragu & Mutahaba, 2006:7; Laking & Norman, 2006:10; Washington & Hacker, 2009:2-3).

The literature also demonstrated that the implementation of performance management initiatives often fails during the implementation stage (Laking & Norman, 2006:10, 2007:523; de Waal, 2007:71; Dull, 2008:255; Washington & Hacker, 2009:2). The failure rate of change initiatives, including the PMS, in the past decade was estimated to be 70% (Bourne et al., 2002:1288; de Waal & Counet, 2009:367; Kuyvenhoven & Buss, 2011:2). A recent study showed that the failure rate was still at 70% (Hope & Player, 2012:1). However, some authors argue that the failure rate has now decreased from 70% to 56% (de Waal & Counet, 2009:367; Adhikari, 2010:310).

Studies indicate that the PMS has a poor and disappointing track record of implementation in Africa, Southeast Asia, Central and Eastern Europe and Latin America (African Development Report 2005:182; Laking & Norman, 2006:10, 2007:523; Dull, 2008:255; Ohemeng, 2010a:457). For instance, a case study of the implementation of a PMS in ten Central and Eastern Europe countries, Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, and Slovenia found no success stories (Randma-Liiv & Järvalt, 2011:44).

Globally, performance management has been successful in some countries including Australia, Bermuda, Canada, Finland, France, Jamaica, Japan, Malaysia, New Zealand, Singapore, Sweden, United Kingdom (UK) and the United States of America (USA) (Ayeni, 2001:3; Mutahaba & Kiragu, 2002:50; Adamolekun, 2005:29; Bashe & Jongman, 2006:29; Mothusi, 2008:59; Commonwealth Secretariat, 2010:91). In Africa, Botswana, Ghana, Mauritius, Namibia, South Africa, Tanzania and Uganda are listed among the few exceptions of success stories of performance management, though there are challenges and constraints (Economic Commission for Africa, 2004:viii; Adamolekun, 2005:6; African Development Report 2005:138; Kiragu & Mutahaba, 2006:8; Commonwealth Secretariat, 2010:92). Given the high failure rate of implementation of PMS and the implementation challenges associated with them, modelled on the New Zealand New Public Management model, some scholars such as Schick (1998:124), Polidano & Hulme (2001:298), Dunn & Miller (2007:350), and Ohemeng (2010a:457) have recommended that developing countries, especially those in Africa, should

not implement Western management techniques or practices that are not adapted to the context of developing countries (see infra 3.5.8).

This study was considered timely and relevant because of the following five reasons.

Firstly, it was carried out at a time when there was concern that little attention was being paid to the challenges and difficulties encountered in implementing a PMS in developing countries (Ohemeng, 2009a:125).

Secondly, the study topic was considered an important subject for study because many African countries were implementing the PMS to improve public service performance and service delivery (Hope, 2003:305; Economic Commission for Africa, 2004:13; Kiragu & Mutahaba, 2006:8; de Waal, 2007:71; Mothusi, 2007:4). Moreover, the study topic was worth researching because of the exponential development in academic interest in performance management since the 1990s (Thorpe & Beasley, 2004:335-336; Monnaesi, 2011:8). Thirdly, this study was carried out at a time when the application of a PMS in the Botswana public service was receiving national attention following the pronouncement by the President of Botswana, Lieutenant General S.K.I. Khama on 18 October 2009 that public service delivery would be one of the major priorities of his administration (Kiragu & Mutahaba, 2006). The main priorities of president Khama's administration were the five "Ds," namely democracy, development, dignity, discipline and delivery. Effective public service delivery was critical to promote and sustain national development, economic diversification, global competitiveness and to improve living standards and dignity of citizens (Letsebe, 2009:2; Republic of Botswana, Office of the President Press Release – Restructuring of Certain Ministries and Departments, 20 October 2009b:online). As argued by Ohemeng (2009:110) performance management is an issue of critical concern to public administration and to political leaders, and public and private sector managers.

In February 1999, the Botswana Cabinet endorsed the decision of permanent secretaries to roll-out the implementation of the PMS to the entire public service (Bashe & Jongman, 2006:24; Dzimbiri, 2008:49). In June 1999, the Botswana National Productivity Centre was awarded a five-year contract to roll-out the system in the Botswana public service (Institute of Development Management Consortium, 2006 1-2). The roll-out began in July 1999 and was completed on 31 March 2004 (Republic of Botswana, National Development Plan 9, 2003a:366; Botswana National Productivity Centre, 2005:5). In August 1999, the system was

launched in the Botswana public service (Botswana Press Agency, 1999:4). The available limited case studies focus on private sector companies, especially multinational corporations. There are limited case studies that consider the application of the PMS in a global environment from a public service perspective. A literature search revealed only two articles, one by K.S. Rana published in 2004 and one by M. Mwagiru published in 2006. In addition a volume K.S. Rana (2011) was also found. (Institute of Development Management Consortium, 2006: 1; Dzimbiri, 2008: 49; Marobela, 2008:430)

Fourthly, the findings and recommendations of this study would be of practical value to the Ministry of Foreign Affairs and International Co-operation, which could then be used as a case study. Since the PMS was implemented in the Botswana public service in 2009 there have been no case studies to investigate its effectiveness. The bulk of the current literature on the implementation of the PMS in the Botswana public service consists of international conference papers that were presented by senior government officials. Examples are papers by Bakwena (2003), Moleboge (2003), Nkhwa (2003), Bashe & Jongman (2006), Nyamunga (2006) and Mogae (2007), Both Skelemani (2007) and Nkhwa (2008) agree that due to their concise nature presentations and conference papers are not scholarly and detailed in their treatment of the subject.

The recommendations of this study could contribute to the improvement of the implementation of the PMS and other future interventions.

Finally, this study could contribute to the limited scholarly literature on the implementation of the PMS in South African Universities.

The available scholarly studies such as those by Hope (2002:2003) and Mothusi (2008) were one-dimensional case studies. For example, Hope focused on the aspect of leadership while Mothusi focused on organisational culture. Consequently, these studies do not provide a complete account of the implementation of the PMS as they omit other factors that affect its implementation. This study adopted a holistic or multi-dimensional analytical framework to explore the perception of academic staff towards the PMS at the University in KwaZulu-Natal.

Internationally, there is a limited body of literature considering the application of the PMS in developing countries, in particular Africa (de Waal, 2007:70).

It was difficult to convince the academic staff about the usefulness and efficiency of the PMS in improving the delivery of public services. The academic staff thought it was like other previous performance improvement programmes and would not make any significant impact on service delivery. At the time the PMS was implemented, there was inadequate understanding within the University sector about the integration of previous performance improvement programmes within the PMS framework (de Waal, 2007:70).

Consequently, there was misunderstanding about the implementation of the system and confusion with the previous performance improvement programmes, in particular with work improvement teams. As a result, it was a challenge for the selected University in KwaZulu-Natal to widely accept the application of the new PMS.

Probably owing to the above-mentioned challenges, the pace of application of the PMS in South African Universities and the rushed implementation of the programme, the researcher found it necessary to assess whether the PMS was properly implemented in South African and International Universities.

1.3 PURPOSE OF THE STUDY

The purpose of this study was to describe the academic staff perception of the PMS at a selected University in KwaZulu-Natal.

1.4 RESEARCH QUESTIONS

1. What are the understanding, practices and attitudes of academic staff of performance management in the School of Built Environment and Development Studies at a selected University?
2. What are the perceived benefits of performance management of academic staff in the School of Built Environment and Development Studies at a selected University?
3. What are the factors affecting the performance management in the School of Built Environment and Development Studies at a selected University?

1.5 RESEARCH OBJECTIVES

1. To describe the knowledge, practices and attitudes of academic staff of performance management at a selected University.

2. To describe the perceived benefits of performance management among the academic staff at a selected University.

3. To explore the factors affecting the performance management at a selected University.

1.6 SCOPE

The focus of this study was on the perception of academic staff towards the PMS in the School of Built Environment and Development Studies at a selected University in KwaZulu-Natal. This study did not assess the impact (programme outcomes) of the PMS in the Botswana Ministry of Foreign Affairs and International Co-operation. The scope of this study was set within the parameters of the geographical, hierarchical and time dimensions.

1.6.1 Geographical dimension

The geographical dimension of this study was limited to the academic staff in the School of Built Environment and Development Studies at a selected University in KwaZulu-Natal.

1.6.2 Hierarchical dimension

This study was mainly limited to the perception of academic staff, including senior management (Permanent Dean and Head of School), permanent middle management (Academic Leaders) and junior management staff (Professors), towards the PMS at a selected University in KwaZulu-Natal. The level of academic staff that was surveyed were Dean and Head of School, Academic Leaders, Professors and Lecturers.

1.6.3 Time dimension

The data was collected from March to April 2019 at a selected University in KZN.

1.7 SIGNIFICANCE OF THE STUDY

The study could serve as a basis for future researchers and other users who may venture into a similar area of assessing the perception of academic staff towards the PMS at a University. The findings will provide information for policy makers, teaching institutions, leadership and management, higher education, academic staff and researchers for input in performance management. The study would also provide valuable insight to the UKZN's Human Resources

department in terms of understanding the perception of academic staff towards the PMS at a University.

1.7.1 Higher Education system

The higher education system of a country explicitly or implicitly shows the development potential, the history, culture and ethos of a country. The system is no doubt complex and has been changing since its inception; nevertheless it provides a broad framework of progress in education, research and training. Actually an active higher education system together with its research potential provides an indication of how a country is emerging. Any university is adjudicated by the level or extent of the research work it achieves. Experience of research leads to the quality of teaching communicated to the students and this in turn enriches the research itself. With the explosion of knowledge in what is now known as the "knowledge society" in the modern connotation of the word, the higher education system has gained more importance (Kiragu & Mutahaba, 2006).

1.7.2 Performance management systems

The term "performance management system" was defined by Hope (2002:539) as "an ongoing communication process, undertaken in partnership between employees and their immediate supervisors that involves establishing clear expectations and understandings about the essential job functions each employee is expected to undertake; how each employee's job contributes to the goals of the organisation; how each employee and supervisor will work together to sustain, improve, or build on existing employee and organisational performance; how job performance will be measured; and identifying barriers to performance and removing them."

1.7.3 Teaching Institutions

Teaching institutions educate students and prepare them for employment through imparting knowledge and by undertaking basic research. To this must be added training workers and supporting the continued expansion of understanding.

1.7.4 Leadership and management

Leadership is setting a new direction or vision for a group, ie: a leader is the spearhead for that new direction. Management controls or directs people/resources in a group according to principles or values that have been established (Kiragu & Mutahaba, 2006).

1.7.5 Academic staff

Academic staff is a synonym for "faculty" which is the term most commonly used in a global context. Academic staff is limited to regular, full-time personnel in a higher education system whose regular assignment include instruction and research as principal activities. The members normally hold professional qualifications. Academic staff does not include staff whose major responsibilities are administrative or logistically related.

1.7.6 Policymaker

A policymaker is a person responsible for or involved in formulating policies. Individuals (usually members of the board of directors) who have the authority to set the policy framework of an organization.

1.7.7 Research:

Scientific research includes a systematic process that concentrates on being objective and gathering a multitude of data for analysis so that the researcher can come to a conclusion. This process is applied in all research and evaluation projects, regardless of the research method (scientific method of inquiry, evaluation research, or action research). The process concentrates on assessing hunches or ideas through a systematic process. In this process, a study is recorded in such a way that another individual can reproduce the same study. This is referred to as duplicating the study. Any research carried out without recording the study so that others can review the process and results is not an exploration using the scientific research process. The scientific research process is a multiple-step process where the steps are interlinked with the other steps in the process. If changes are created in one step of the process, the researcher must review all the other steps to ensure that the changes are reflected throughout the process. The eight steps of the research process must be understood so they can be applied to a study.

1.8   OPERATIONAL DEFINITIONS

1.8.1   Performance management system

In this study performance management system refers to the tool used to measure and evaluate the performance of the academic and other staff working towards optimum delivery of services to achieve the university goals (Kiragu & Mutahaba, 2006).

1.9   THE LAYOUT OF THE DISSERTATION

This study is made up of the following five chapters:

Chapter 1 provides an overview of the entire study: the perception of academic staff towards the PMS at a selected University in KwaZulu-Natal. The chapter covers the background and rationale for the study, the research problem and questions, research aim and objectives, scope, conceptualisation of key concepts, a short overview of the research design and methodology, referencing, study sequence and summary.

Chapter 2 focuses on a literature review of performance management. It examines the origins of the concept of performance management; defines performance management; explains the methods used for performance management and the distinguishing features of the PMS technique. It discusses the integrative nature of such a system and identifies the steps to be followed to develop it. The chapter also identifies the purposes and benefits of introducing a PMS. Lastly, it discusses the general problems encountered in the implementation of a PMS.

Chapter 3 discusses the research design and methodology, population and sampling, designing and administering interview questionnaires, and explains the measures that were used to establish trustworthiness of the study findings of qualitative research. It discusses the ethical principles that were followed to safeguard the rights of respondents. Finally, it discusses the storage and destruction of research data.

Chapter 4 deals with analyses and interpretations of research data. The research data was collected using two data collection instruments, namely literature review and interviews.

Chapter 5 discusses realisation of the study aim and objectives, summary of the main conclusions of each chapter, limitations of the study, major findings of the empirical study,

recommendations and areas of further research. Finally, the structure of the dissertation was presented. The following chapter reviews literature that is relevant for the study.

1.10 CONCLUSION

Chapter 1 covered the introduction, background of the study, problem statement, aim of the study, research question and research objectives in terms of acquiring an in depth knowledge of the academic staff perception of the PMS at UKZN. Chapter two will address literature review and theoretical framework.

CHAPTER 2

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 INTRODUCTION

This chapter builds on the introductory chapter which provided an overview of the study. It reviews the literature on performance management. It examines the origin of the concept of performance management, provides a definition or meaning of performance management and explains the approaches to performance management.

The technique of the PMS is explained as well as its integrative nature. Finally it identifies the steps in the growth of and the objectives and benefits of introducing such a system as well as the general problems encountered in the application of a PMS. A summary of the key issues raised concludes this chapter.

2.2 ORIGIN OF PERFORMANCE MANAGEMENT

Although performance management can be traced back to ancient times, the concept "performance management" was first used in 1976 by Beer & Ruh in their study of the PMS at Corning Glass Works of the USA (Beer & Ruh, 1976:60; Armstrong & Baron, 1998:43). The development of the system at Corning Glass Works was to overcome the shortcomings of management by outlining objectives.

According to Beer & Ruh (1976:60-61), some of the shortcomings of management were the following: lack of accurate and objective performance feedback and failure by managers to effectively perform their triple role as managers, judges and helpers. In their role as managers, they failed to effectively manage the performance of employees. As judges, they failed to effectively evaluate employees' work performance and make administrative decisions about salary increases and promotions. Finally, as helpers, they failed to develop and improve employees' performance. In light of these shortcomings, a PMS was developed at Corning Glass Works to achieve the following. Firstly, to assist managers to provide helpful and constructive performance feedback to employees; secondly, to assist managers and employees create a developmental plan to address employee developmental needs; thirdly, to assist

managers to differentiate and perform effectively their triple role of manager, judge and helper (Beer & Ruh, 1976:60-61).

Although the concept was coined in 1976 by Beer & Ruh, it was not widely used until the mid-1980s when it emerged in the United States of America as a new approach of managing performance. The first book to be published exclusively on performance management was by R.J. Plachy & S.J. Plachy in 1988 entitled "Getting Results from your Performance Management and Appraisal System" (Armstrong & Baron, 1998:43). In the United Kingdom, the first published record of performance management was by Don Beattie, former personnel director of International Computers Limited, at a meeting of the Institute of Personnel Management Compensation Forum in 1987 (Armstrong and Baron, 1998: 44).

In the following section, a chronology of developments of the performance management is presented from ancient to modern times. As indicated above, performance management is not a new concept. Although it has modern usage, its historical antecedents can be traced back to the Chinese dynasties and Biblical times. Individual performance management compared to operational and strategic performance management has the longest history (Brudan, 2009).

Historical accounts show that China has a long administrative heritage which goes as far back as the Qin dynasty which reigned from 221-206 BC. It is reported that the Han dynasty that ruled from 206 BC to 220 AD used the merit principle by conducting examinations to recruit and promote those who served the emperor (United Nations, 2001: 45). The emperors of the Wei dynasty that ruled from 221-265 AD reportedly used an Imperial Rater to evaluate the performance of the official family members (Armstrong and Baron, 1998: 29; Wiese and Buckley, 1998: 234; Wilson and Western, 2000: 384; Glendinning, 2002: 161; Brudan, 2010: 112). The Chinese philosopher Sin Yu criticised the fairness of the Wei dynasty performance appraisal by noting that "the Imperial Rater of Nine Grade seldom rates men according to their merits, but always according to his likes and dislikes" (Patten 1977: 352 cited in Banner and Cooke, 1984: 328; Brudan, 2009: online).

The Bible refers to the evaluation of individual performance in Exodus 35 in approximately 1350 BC wherein the Lord commanded the people of Israel to devote six days of the week to build the Tabernacle (Wiese and Buckley, 1998: 234). The quest for measurements of performance and quality is traced to around 2500 BC when ancient Egyptians started constructing pyramids, which are an engineering feat (Massey, 1999: 2; Brudan, 2009: online).

The origin of operational performance management is traced back to the emergence of accounting and management as a new field of study in the 13th century. Operational performance management was concerned with improving methods of operations. It initially used financial indicators and later non-financial indicators to measure performance. Performance measurement and management focused on quantity, price, economy, efficiency and effectiveness (Brudan, 2009: online; Brudan, 2010: 113).

Between 1540 and 1560, Ignatius Loyola established a formal rating system for members of the Society of Jesus or the Jesuits (Armstrong and Baron, 1998: 29; Brudan, 2009: online). In 1648, the Dublin (Ireland) Evening Post reportedly assessed legislators using a rating scale based upon personal qualities (Wiese and Buckley, 1998: 234 - 235; Brudan, 2009: online).

The earliest forms of performance appraisals were evident in both Britain and the USA in the 18th and 19th centuries (Furnham, 2004: 83 – 84). In the USA, performance appraisal programmes were developed in the late 18th century during the Industrial Revolution (Brudan, 2010). It is believed that performance appraisals in industry started in the early 1800s in the New Lanark textile mills of Scotland with Robert Owen through the use of "silent monitors" (Banner and Cooke, 1984: 328; Wilson and Western, 2000: 384; Brudan, 2009: online; Brudan, 2010: 112). A piece of coloured wood was hung over the machines to indicate the superintendent's assessment of the previous day's work - white indicated excellent, while yellow, blue and then black indicated poor performance (Prowse and Prowse, 2009: 70). In the late 1800s, the Federal Civil Service of the USA started merit ratings, otherwise known as efficiency ratings (Wiese and Buckley, 1998: 235). In the 19th century, most Western armies were using performance appraisals (Furnham, 2004: 84; Brudan, 2009: online).

Strategic performance management has a recent history which is linked to the emergence of strategic management as a discipline in the 20th century. Strategic performance management is concerned with the management of performance at the individual, operational and strategic levels or the achievement of institutional objectives (Brudan, 2009: online; Brudan, 2010: 114). The origin of strategic performance management can be traced to the 1940s when Japan's post-war reconstruction efforts began. This is the period when the Japanese Union for Scientists and Engineers and the Japanese Standards Association started to develop the total quality concept. This led to the development of the total quality management philosophy and the establishment of quality circles and focus groups in business institutions (Massey, 1999: 2).

The total quality movement brought impressive results for a Japanese industry as it reduced wastage in production and delivery processes, increased manufacturing innovations and produced high quality goods which were exported to North American and European markets. The total quality management approach emphasised economy and efficiency, meeting customer needs, linking organisational decisions to customer driven processes and recognising the contribution of all employees. The total quality management concepts were later popularised to North American and European businesses by W. Deming, J. Juran and Crosby (Massey, 1999: 2). In light of the above, it may be inferred that from a conceptual point of view, not very much attention was paid to the meaning of performance management during the earlier years. Therefore, an analysis and definition of performance management is presented in the following section.

2.3 DEFINITION OF PERFORMANCE MANAGEMENT

The concept of performance management has no standard definition as it is defined differently in different circumstances and administrative systems (Pollitt, 2001: 10; Chartered Institute of Personnel and Development, 2009: online). One of the reasons why it has no single definition is that it is a convenient generic term that is used to refer to a number of approaches adopted to measure and manage performance (Brown, 2005: 471; Tangen, 2005: 40; Chartered Institute of Personnel and Development, 2009: online). Pollitt (2005: 41) further argues that it varies in form and force among other countries. For example, in the UK, performance management reforms emphasised accountability and control and making cost savings whilst the USA emphasised internal management and performance improvement objectives, and Australia emphasised management and performance improvement, accountability and control, and not cost savings. In terms of measuring actual performance, the UK emphasised efficiency and economy, whilst Australia emphasised outcomes, and efficiency in the case of the USA (Talbot, 1999:17).

According to Pollitt (2005: 9), performance management is a multi-dimensional construct or concept that is always expanding and evolving. It started predominantly as financial in character but has now acquired a multi-dimensional character, incorporating producer concerns such as productivity and cost-efficiency as well as user concerns such as service quality and customer fulfilment. As observed by Brown (2005:472), the lack of an exact or precise definition of performance management affects its effective implementation. This is partly due

to the fact that those responsible for its implementation may understand and interpret the concept differently and the education and training offered in performance management can vary significantly within and among the various stakeholders. This view is further supported by Brynard (2010:197) who argues that the implementers often have divergent perspectives, viewpoints, meanings and interpretations of the issues involved because they come from varied disciplinary backgrounds, different departments and institutional ranks. Consequently, the implementers may not have a mutual or collective understanding of the performance management system which may lead to inconsistency in the implementation of the programme (de Waal, 2003:689; Hill, 2003:267; Tangen, 2005:34).

Plachy (1987) defined performance management as "an umbrella term that includes performance planning, performance review and performance appraisal" (cited in Armstrong & Baron, 1998:43-44). Wescott (1999:160) described performance management as a "system which links organisational goals to work plans, appraisal, capacity development, pay and incentives for individuals and teams." In their study on performance management, Armstrong & Baron (1998:51) noted that performance management was a "process of aligning or integrating organisational and individual objectives to achieve organisational effectiveness."

In another study, Bowman (1999:573) defined performance management as a "continuing cycle of goal setting, coaching, development, and assessment." Das (2003) argued that performance management was an "ongoing process that articulates organisational vision and objectives, identifies and installs organisational and individual performance standards in light of these objectives, and takes corrective action to ensure accomplishment of these standards using systems and procedures that are well-integrated with organisational culture and practices" (cited in Kelloway, 2004:9). From the foregoing it is clear that there are many different ways in which performance management can be defined. However, for the aim of this study, performance management is defined as a strategic, integrated and holistic approach to the management of individuals, teams and institutional performance. It encompasses a broad array of issues concerned with the measurement, management and improvement of performance. These include objective-setting, performance planning, development of performance standards, performance review/appraisal and feedback, performance monitoring, communication or reporting of performance results, employee development, and recognition and reward of performance. In the analyses of performance management as a concept, it is clear

that there are different methods of performance management. Thus, the methods of performance management are elaborated upon in the next section (Das, 2003).

2.4   APPROACHES TO PERFORMANCE MANAGEMENT

This section considers the four main approaches to performance management. These are the scientific management, trait-based, behaviour-based, and results-based methods.

2.4.1   Scientific Management Approach

The genesis of formal systems of performance management is traced to the work of F.W. Taylor, the founding father of the scientific management movement (Armstrong & Baron, 1998:29; Prowse & Prowse, 2009:70). Taylor sought to promote a more rational management process by devising the best method of performing work; determining work to be performed, by whom and how; reporting what was actually done; and by linking employee pay to work performance (Levinson, 1970:125). The classical or scientific management movement underlined the importance of control, order and formality in institutions (Armstrong, (1991:208). Taylor viewed control as a requirement to attaining operational efficiency. Fayol, on the other hand considered control as one of the essential functions of management (Pavlov & Bourne, 2011:105). Scientific management originated in the USA. It was based on the analysis of existing work approaches through observation and measurement. Following the analysis, enhanced approaches could be devised and applied, and its results checked through ongoing performance measurement (Brudan, 2009:online).

Hamel, (2009) scientific management techniques were basically used for two purposes: to ensure that semi-skilled employees performed their routine tasks competently, diligently, and efficiently; and to ensure proper co-ordination of efforts so that goods and services could be produced in large quantities. Scientific management techniques were introduced into the production processes to address the problems of efficiency and scale through product standardisation, work process specialisation, creation of bureaucratic procedures and hierarchical structures, and the development of targets, role definitions, and detailed rules and procedures (Hamel, 2009:92). The scientific management approach placed great emphasis on performance management at the micro-level within each operation, focusing on the work and the output of individual workers (Brudan, 2009:33 online). The importance of output and

competence necessitated the development of performance appraisals as tools to assess work performance (Banner & Cooke, 1984:328).

2.4.2 Trait-based approaches

Trait-based approaches require judgements on the extent to which the employee possesses certain desired personal characteristics or traits deemed important for successful job performance (Bowman, 1999:560). These traits include creativity, initiative, dependability, co-operativeness and intelligence (Allan, 2014:online). It is estimated that formal performance appraisals started in the USA in 1813 at the USA War Department with Army General Lewis Cass who evaluated the performance of each army official. The military was the pioneer in the development of performance appraisal techniques such as the man-to-man ranking, forced-choice and trait-rating scales (Banner & Cooke, 1984:328; Wiese & Buckley, 1998:235; Brudan, 2009:online). The performance appraisals were developed by industrial psychologists, human resource managers, organisational development and organisational behaviour consultants (Brudan, 2010:112). In 1842, the USA Congress mandated efficiency ratings of clerks in the public service which contained information on competence, faithfulness and attention (Bowman, 1999:559). In 1912, the USA Civil Service Commission created a Division of Efficiency to address public concerns about economy and efficiency. Formal performance appraisals were mainly used by the USA Army and government institutions in the late nineteenth and early twentieth century while most private institutions used informal measures to evaluate staff performance. Performance appraisals were chiefly used by the army and government institutions because of their large size, hierarchical structure, geographic dispersal and the need to promote best performers to higher positions (Wiese & Buckley, 1998:235; Brudan, 2009:online). The development of performance appraisals in USA industry started with early work in salesman selection by industrial psychologists at Carnegie-Mellon University, who used trait psychology to develop a man-to-man rating system (Brudan, 2009:online; Brudan, 2010:112). W.D. Scott was the American pioneer who introduced rating for workers in USA industry before World War I. W.D Scott was influenced by Taylor to invent the man-to-man rating system or man-to-man comparison scale (Armstrong & Baron, 1998:29-30; Wiese & Buckley, 1998:235).

In 1914, the USA army used the W.D. Scott scale to assess officers' performance (Wiese & Buckley, 1998:235; Wilson & Western, 2000:384; Brudan, 2010:112). Five scales were used

to rank officers, namely: physical qualities; intelligence; leadership; personal qualities and the general value to the service (Wiese & Buckley, 1998:236). Army officers were scored as "a good natured man" or "a knave despised by all" (Banner & Cooke, 1984:328; Wiese & Buckley, 1998:236; Brudan, 2009:online). The introduction of the W.D. Scott scale in the USA Army resulted in the replacement of the seniority system of promotion with merit-based promotion. Due to its success in the USA Army, the W.D. Scott scale was adopted by USA factories and the British Army (Armstrong & Baron, 1998:30).

Frank & Lillian Gilbreth were influenced by Taylor's ideas to develop the concept of time and motion studies between 1915 and 1928. Time and motion studies required the measurement of every single movement undertaken by a worker during the course of their work. This new approach to performance management came to be known as work study because it entailed the study of work methods and the measurement of work (Brudan, 2009:online). In the 1920s and 1930s, there were numerous innovations in models of rating scales and techniques. The principles of capital investment appraisal, budgeting, performance measurement, variance accounting and return on investment were introduced by USA companies such as DuPont and General Motors to improve operational performance. Around this time, the W.D. Scott scale evolved into a graphic rating scale. In 1922, Donald Paterson introduced the graphic rating scale for the psychological community. The graphic rating scales assessed personality traits considered essential for success in one's work (Armstrong & Baron, 1998:29-30; Wiese & Buckley, 1998:235; Brudan, 2009:online).

The graphic or trait rating scales had the following weaknesses. Firstly, trait rating was considered subjective and impressionistic (Armstrong & Baron, 1998:33; Wiese & Buckley, 1998:242; Bowman, 1999:560). Personality traits such as leadership, initiative, intelligence, co-operation, judgement, creativity, resourcefulness, innovativeness, and dependability were difficult to define and measure (Banner & Cooke, 1984:327; Wiese & Buckley, 1998:237). Administrative decisions such as promotions and salary increases were made based not on objective performance appraisals or merit but on arbitrary judgements and seniority (Levinson, 1976:31; Banner & Cooke, 1984:330; Wiese & Buckley, 1998:236; Brudan, 2009:online).

Secondly, the methods used for measuring performance such as the global ratings and global essays were subjective. In global ratings, the rater estimated overall evaluation of performance in terms of the following categories: "outstanding," "satisfactory" and "needs improvement"

while global essays attempted to answer the question "What is your overall evaluation of this person over the last year?" (Wiese & Buckley, 1998:236). Due to the qualitative nature of these methods, the raters could not account for differences in individual performance or compare ratings across departments and divisions. As a result of rater bias, errors and the subjectivity of these methods, the overall job performance ratings were questionable and could not withstand legal scrutiny due to the problem of reliable and valid measurement (Levinson, 1976:31; Banner & Cooke, 1984:328; Wiese & Buckley, 1998:237; Bowman, 1999:560).

Thirdly, graphic rating scales lacked a framework for employee development and performance feedback (Wiese & Buckley, 1998:236).

Fourthly, the graphic rating scales often tended to exclude top management from performance appraisals (Brudan, 2009:online).

Finally, graphic rating scales tended to appraise performance based on previously established performance dimensions, focused on past performance instead of future performance, and were implemented by managers with little input from employees (Wiese & Buckley, 1998:237; Brudan, 2009:online). As a result of the above weaknesses, the forced-choice and critical incident methods were introduced as alternative performance appraisal systems (Wiese & Buckley, 1998:238).

2.4.3 Behaviour-based approaches

Behaviour-based approaches, unlike trait-based methods, emphasise behavioural data or what the employee actually does (Bowman, 1999:560-561). The forced-choice method was used by the USA Army during World War II to improve the rating system through the introduction of sets of statements to be used by raters to describe job performance. The forced-choice method used a set of four statements, two favourable and two unfavourable, to rate employees' performance. According to this rating system, only one of the 37 favourable statements was added to the score and only one of the unfavourable statements was subtracted from the score. To reduce rater bias, raters were not given item scores or values for each statement (Wiese & Buckley, 1998:238).

The forced-choice method had the following shortcomings. First, although the rating system was designed to reduce rater bias, it forced raters to choose only two statements (one favourable

and the other unfavourable) to rate employee performance. Second, the forced-choice method was secretive as raters did not know the item scores for the statements used for rating performance. Third, the scoring system of the forced-choice method was so complex that the results were misunderstood by employees (Wiese & Buckley, 1998:242). Consequently, the performance scores were just numbers without any accurate ratings of job performance. Finally, due to the complexity, secrecy and limited choice of the statements used to assess performance this rating system was not widely accepted by either the public or private sector (Wiese & Buckley, 1998:238).

The critical incident method was developed during World War II as a performance appraisal technique that recorded positive and negative behavioural events or incidents that happened during a given performance period. It was initially developed to train pilots in take-offs and landings. In this method, the manager recorded important instances of effective or ineffective on-the-job performance. The manager observed and recorded behaviours that were deemed critical to the success or failure of a given job. That is, physical and mental qualifications as well as work habits and attitudes. These observations were then used as a basis for performance appraisal ratings (Flanagan & Burns, 1955:95-96; Beer, 1981:30; Wiese & Buckley, 1998:238). The advantages of the critical incident method were the following. It provided managers with a framework to observe and record performance based on the critical requirements of the job. The information gathered was used to provide performance feedback, coaching, and to make administrative decisions regarding employee selection, training, placement, transfer, promotion and demotion. The other advantage was that the recorded data lasted longer than the manager recording it. The manager had the information on paper or personnel folders rather than relying on hunches or memory. Record keeping ensured that hard evidence or verifiable information was used for performance appraisal (Flanagan & Burns, 1955:100; Levinson, 1976:36; Armstrong & Baron, 1998:38).

The critical incident method had the following shortcomings. Firstly, the accuracy of this performance appraisal technique was affected by rater inference since the overall rating was based on the record of behaviours that the manager deemed critical to job performance. Secondly, the critical incident method was considered complex, costly and time-consuming (Wiese & Buckley, 1998:238). As observed by Levinson (1976:36), it was complex to scale and rate behaviour. Thirdly, the critical incident method was criticised for its micro-management feature as managers kept a "black book" on employees (Armstrong & Baron,

1998:38; Bowman, 1999:561). Lastly, the results of the critical incident method were deemed misleading because they tended to focus on mistakes rather than achievements or extreme and extraordinary elements in normal day-to-day performance (Wiese & Buckley, 1998:239).

The behaviourally anchored rating scales were designed to reduce the rating errors of the critical incident method and the graphic rating scales. The behaviourally anchored rating scale defined the performance dimensions to be evaluated in behavioural terms and used critical events to anchor or describe different performance levels. The performance dimensions were rated on a scale based on behavioural descriptions such as "continually contributes new ideas and suggestions," "takes a full part in group meetings and contributes useful ideas frequently" or "generally uncooperative" (Armstrong & Baron, 1998:39; Bowman, 1999:561). The behaviourally anchored rating scales were rarely used because it was practically impossible to develop a rating scale for each job category, the technique was costly and time-consuming to develop and use and managers preferred to use personal attributes (trait scales) rather than the non-trait technique of behaviourally anchored rating scale (Armstrong & Baron, 1998:40; Bowman, 1999:561-562).

2.4.4 Results-based approaches

According to De Araújo & Angelino Branco (2009) the "results-based approaches" put emphasis on the " achievement of results". Due to the limitations of trait rating, forced-choice and critical incident methods, new performance appraisal systems based on management by objectives were developed in the 1950s. The term "management by objectives" was coined by P. Drucker in his book "The Practice of Management" published in 1954. In 1957, D. McGregor applied the management by objectives approach to performance appraisals in his article entitled "An uneasy look at performance appraisal" (McGregor, 1957:91; Sherwin, 1976:149; Armstrong & Baron, 1998:33; Wiese & Buckley, 1998:240; Brudan, 2009:online). McGregor recommended that the management by objectives approach be used to appraise employees on the basis of short-term performance goals set by the employees themselves. Under this approach, the employee was supposed to define his or her job responsibilities and goals, assess his or her own strengths and weaknesses, and develop an action plan to achieve his or her goals. The manager and the employee were to discuss jointly and modify the performance goals and action plans to suit the realities of the institution. The performance goals

were supposed to be specific, realistic, measurable and time bound (McGregor, 1957:91; Wiese & Buckley, 1998:240).

At the end of a given performance period, the employee had to conduct a self-appraisal of what he or she had achieved in comparison to the set performance targets. The self-appraisal had to be substantiated with factual data. The manager and the employee had to conduct a performance appraisal interview to validate the employee's self-appraisal. The interview should be held at the end of the year to determine whether the employee had achieved the agreed upon objectives whereupon a rating was given to the employee indicating one of the following "excellent," "above average," "average," and "failed to meet." After the completion of the interview, the employee has to start the performance appraisal cycle by developing new objectives and action plans for the next year, and if necessary to indicate measures to be undertaken to improve areas of inadequate performance (McGregor, 1957:91; Banner & Cooke, 1984:327). McGregor believed that the management by objectives approach was superior to the previous performance appraisal systems in many respects. First, it promoted participative management and a positive approach to performance appraisal by shifting emphasis from appraisal to analysis, and towards employee empowerment and development (Berman, 2002:349; Brudan, 2009:online). Performance appraisals were no longer conducted to identify employee weaknesses only but also strengths and potentials, and the employee was no longer a passive but an active agent in the performance appraisal by being involved in performance planning, setting of performance targets and development of action plans. Second, the management by objectives approach recognised that the employee, and not the manager, knows best his or her own capabilities, needs, strengths and weaknesses (McGregor, 1957:91-92). Third, the management by objectives approach redefined the role of the manager from that of a judge of the employee's personal worth to a coach who assists the employee to achieve his or her objectives. Fourth, it promoted communication between the manager and the supervisee regarding job responsibilities, objectives, plans and results (McGregor, 1957:92-93; Beer & Ruh, 1976:59; Wiese & Buckley, 1998:240). Fifth, the management by objectives approach was futuristic in the sense that it shifted the focus from past performance and behaviours to future performance and actions. Sixth, it shifted the focus of performance appraisals from evaluation of personality traits to performance results. Lastly, it introduced objectives set to the performance appraisal process (McGregor, 1957:2-93; Beer & Ruh, 1976:59; Levinson, 1976:30; Sherwin, 1976:155; Wiese & Buckley, 1998:240).

The main limitation of management by objectives was its overemphasis on the measurement and quantification of objectives. Consequently, customer service and the quality of performance were overlooked as the main concentration was on quantification of objectives. It often tended to focus exclusively on individual objectives, especially for managers. The individual objectives were often misaligned to institutional objectives, hence performance appraisal was considered irrelevant. Objectives also tended to be activity centred instead of output centred. It was often implemented in a top-down approach with more emphasis placed on form-filling and the role of the managers ignoring the rest of the workforce. The earlier versions of management by objectives imposed paperwork burdens (Levinson, 1970:127; Armstrong & Baron, 1998:36-37; Wiese & Buckley, 1998:240-241; Berman, 2002:349). Lastly, the implementation of the management by objectives approach was considered complex and time-consuming because it required job analysis and inferential skills to determine which performance dimensions to measure and the goal achievement standards to use (Wiese & Buckley, 1998:240). Although it focused on achievement of results, it was inadequate in terms of observation and evaluation of employees' behaviour. It could not assist employees to adopt or modify their behaviour in order to improve their performance (Beer & Ruh, 1976:60-61).

Given the limitations of earlier approaches to performance management, a modified form of results-based performance appraisal was introduced in the 1970s. It was known as results-based performance appraisal because it combined the agreement of objectives with an evaluation of the results achieved. This was the precursor to the performance management that emerged in the mid-1980s as a response to the shortcomings of merit-rating and management by objectives, and dictates of the market economy and entrepreneurial culture. The earlier versions of performance management entailed many elements of the earlier approaches such as objective-setting, performance review, performance-related pay and trait assessment. As time progressed, the term "performance appraisal" was supplanted by performance management, which had entered into the management vocabulary by the 1990s (Armstrong & Baron, 1998:44, 47). In the next section, the PMS technique and its distinguishing features are described.

2.5 PERFORMANCE MANAGEMENT SYSTEM TECHNIQUE

The PMS technique was used in the 1980s and 1990s to bring about change in public sector culture and ethos. The competitive pressures from globalisation in the 1980s and 1990s compelled institutions to find new ways of measuring and managing performance (Ittner &

Larcker, 1998:217; Kaplan, 1998:99; Dahlström & Lapuente, 2009:9). The introduction of the PMS technique resulted in a shift from the historic public service culture to a performance culture. The historic service culture was based on the principle of experience and equality, that is, employees in the same job with the same experience and qualifications were paid equally and had the same prospects of promotion, irrespective of performance (Furnham, 2004:84).

The performance culture, on the other hand, was based on the principle of equity and managed by means of performance, which meant that two employees in the same job with the same experience and qualifications should not be paid the same unless their productivity was the same. As explained by Furnham, equitable pay-for-performance systems were vigorously resisted by trade unions in the 1980s. Consequently, institutions revised the equitable reward system by narrowing the difference between the top award and the bottom which resulted in the newer principle of equity being supplanted by the old principle of equality (Furnham, 2004:84-85).

The introduction of the performance culture necessitated that managers provide supervisees with regular feedback on work performance. It also required that specific objectives and targets be set with clear and measurable success criteria such as key performance indicators or key result areas. Moreover, it required that data be collected on performance, and regular progress reviews and meaningful performance appraisals be conducted (Furnham, 2004:84). Performance management is considered as one of the key practices of people management. It is used as a tool to assist employees to understand how they contribute to the strategic goals and objectives of the institution, to ensure that the right skills, activities and efforts are focused on the things that really matter to the institution and will enhance work performance (Chartered Institute of Personnel and Development, 2009:online). According to the originators of the concept performance management, Beer & Ruh (1976:60), the following characteristics make the PMS distinguishable from other performance management techniques or systems:

• It recognises the manager's triple role as a manager, judge and helper in performance management.

• It emphasises both employee development and evaluation.

• It uses a personal profile to identify an individual employee's strengths and developmental needs relative to his/her own self rather than to others.

• It integrates the results achieved (management by objectives) and the means to achieve the objectives (inputs or resources).

According to Armstrong & Baron (1998:45), other characteristics of the PMS include the following:

• The vision of the institution is communicated to all employees. The departmental and individual performance objectives set are linked to institutional objectives.

• Regular formal performance reviews are conducted to assess progress towards planned and agreed targets. The formal performance review process is also used to identify training and development needs and to reward outcomes.

• The whole process of the PMS is evaluated to improve its efficiency and effectiveness.

• The performance targets are stated in terms of measurable outputs, accountabilities and training or learning targets.

• Formal performance appraisal procedures are used to communicate performance requirements on a regular basis. The performance requirements are linked to rewards (pay), especially for senior managers.

Davenport & Gardiner (2007:304) have further identified additional five characteristics of the performance management system:

• Cascading objectives (translating strategic objectives into individual objectives).

• Measuring outcomes against benchmarks (measuring the outputs or outcomes against the set performance targets and standards).

• Providing performance feedback (giving feedback on the level of performance).

• Extrinsic rewards (providing rewards to recognise good performance).

• Amendments to objectives and activities (regular update and review of objectives and activities to maintain their relevance).

According to Fletcher & Williams (1996:169), the following three elements are central to the PMS:

• The development of a mission statement and business or strategic plan, and the enhancement of communications within the institution, so that employees are not only aware of the objectives and the business/strategic plan, but can also contribute to their formulation.

• The clarification of individual responsibilities and accountabilities through job descriptions and clear role definitions, leading to the definition and measurement of individual performance.

• Implementing appropriate reward strategies (which in many instances are judged to include some form of performance-related pay) and developing staff. Fletcher & Williams (1996:170) state that the PMS is owned and driven by line management and not by the human resources department. According to these authors, the PMS emphasises shared corporate goals and values. In addition, they are of the opinion that the PMS seeks to establish a clear relationship between performance and reward. With regard to the frequency of appraisals, Schneier (1989:212) and Longenecker & Ludwig (1990:968) believe that the appraisal of performance should be carried out throughout the year, and not only once in a year.

2.6 STRATEGIC FIT AND ETHICAL CONTENT OF THE APPRAISAL PROCESS

A review of the literature showed that the PMS has four basic processes: (1) developing performance standards, (2) negotiating and communicating the standards, (3) observing performance levels, and (4) providing feedback and coaching employees (McCune, 1989:201). According to Beer & Ruh (1976:61), the PMS has three parts, namely management by objectives, performance development and review, and evaluation and salary review. These authors further state that performance development and review is a new matter that was brought to the PMS to address the difficulty of providing accurate and objective performance feedback. A step-by-step approach was developed to address this challenge. First, the manager using a performance description questionnaire observes and describes the behaviour of the supervisee. Second, using a performance profile, the manager analyses the supervisee's strengths and weaknesses. Third, through the developmental interviews, the manager assists the supervisee to adopt or modify behaviour to one that promotes effective performance. During the developmental interviews, both the manager and the supervisee jointly identify areas for

improvement and establish plans to address the supervisee's developmental needs (Beer & Ruh, 1976:62).

As explained by Beer & Ruh (1976:64), the developmental interviews are distinct from management by objectives sessions and appraisal/evaluation sessions. The performance description questionnaire and the performance profile are tools that the manager utilises to differentiate development from management by objectives and evaluation. According to these authors, the use of the performance description questionnaire and the performance profile assists in reducing the uneasiness associated with the developmental interview. They argue that developmental interview encourages both the manager and the supervisee to engage in open, constructive and non-defensive discussion of performance as it allows the two to discuss any discrepancies they may have.

The individual performance development plans and objectives are developed to effect change (Beer & Ruh, 1976:64). The individual performance development plans identify the core competencies required to achieve personal objectives. The developmental needs of the employees are addressed through training programmes. Davenport & Gardiner (2007:304) argue that the importance of the developmental or the reward component of the PMS varies depending on the underlying values and strategy of the institution. According to Kelloway (2004:9), PMS focus on performance improvement through collecting, analysing and communicating information in a timely fashion. Although there is no ideal PMS package, it is generally agreed that the system components should be linked, be mutually re-enforcing and have a strategic fit (Verweire & Van den Berghe, 2003:784; Davenport & Gardiner, 2007:304-305). According to Verweire & Van den Berghe (2003:784-786) and Davenport & Gardiner (2007:304), the PMS frameworks emphasise the following human resource management policies and practices:

• They should be linked or aligned to support institutional objectives and strategy. There should be a strategic alignment or fit of the managerial and operational processes, reward and human resource systems to ensure achievement of strategic objectives. Cause-and-effect relationships should exist between human resource management and the desired outcomes.

• Strategic objectives should be cascaded from the corporate level to individual employees. Individual objectives should correspond with strategic objectives and continuously updated to

adapt to the changing environment. Appropriate institutional structures should be developed to support strategic objectives.

• Individual objectives should be owned by employees who should be educated, trained and empowered to use the performance management system.

• Flexibility and institutional learning should be emphasised to suit particular or specific circumstances.

• In addition to strategic alignment, there should be internal consistency in the application of human resource management policies to individual employees, to employees in a similar position, and human resource management policies and practices should be consistent over time.

Performance management literature shows that institutions have different approaches towards the application of a PMS. However, as Strebler, Robinson & Bevan (2001) (cited in Furnham, 2004:88-89) indicate, there are certain principles that are critical to the PMS. These principles can be placed in a so-called performance management model. Among the principles that are necessary for the system to operate effectively are:

• It should have clear or specific aims and unambiguous (measurable) success criteria. It should be regularly and openly reviewed against its success criteria.

• It should be designed and implemented with the full involvement of all employees who should find it relatively simple to understand and easy to use.

• It should emphasise role clarity and performance improvement. Employees should have a clear understanding of their individual and institutional objectives. Its effective implementation should be central to all managers' performance objectives.

• It should be supported by a well-resourced training and development programme.

• It should make crystal clear the purpose of recognition and reward and build in proper equity and transparency safeguards.

All PMS are subject to errors because of the very nature of the system and human behaviour. This emphasises the fact that performance management fundamentally has inconsistencies in

behaviour and this can be linked to the ethical side of the human resource function. In this regard, it is important that the PMS should be underpinned by professionalism and ethical behaviour. In this connection, Winstanley & Stuart-Smith (1996:66) identified the following principles to provide the basis for a professional and ethical approach to the management of performance:

• Respect for the individual – performance management processes should be tailor-made to meet individual requirements.

• Mutual respect – performance management processes and systems should value and accord respect to both the manager and the employee.

• Procedural fairness – there should be fair and just (equitable) treatment of employees in the appraisal process. The PMS should be administered consistently and fairly (objectively) without discriminating against any employees.

• Transparency of decision making – for a PMS to work well, there should be transparency (openness) about how the programme works and how decisions emanating from performance management affect individual employees. Without a professional and ethical approach the PMS is destined to fail. For this reason, the Chartered Institute of Personnel and Development (2009:online) identified three ethical principles: effectiveness; strategic and integrated. These principles assist institutions to achieve success with performance management in the following ways:

  o Effectiveness: ensuring that employees have the knowledge and ability to perform. This squarely places the responsibility on the shoulders of the employer to train employees on performance management.

  o Strategy: placing a major emphasis on broader issues and longer-term goals. That is, the focus should not only be on short-term results but should also include longer-term strategic goals and objectives.

  o Integration: linking the various aspects of the institution in terms of people management, individuals and teams. Performance management is not only concerned with people but also with processes, systems, outputs and outcomes.

As alluded to in the definition of performance management and the preceding paragraph, a PMS is by its very nature integrated. Thus, the next section discusses its integrative nature.

2.7 INTEGRATED NATURE OF THE PERFORMANCE MANAGEMENT SYSTEM

A PMS is an integrated structure that combines a number of components or systems in the institutional organisation. It has two critical components, namely the performance appraisal system and human resource management system. All these components form an integral part of the PMS and are complementary to each other. The two critical components are discussed below.

2.7.1 Performance appraisal system

The performance appraisal system is a critical component of a PMS. The performance appraisal system is considered a *sine qua non* for any effective performance management system. In most institutions, performance appraisals are considered a fact of institutional life (Longenecker et al., 1988:311; Longenecker, 1997:212; Abraham et al., 2001:843; Verheijen & Dobrolyubova, 2007:211; Fryer et al., 2009:480; Maley, 2009:1). According to Pavlov & Bourne (2011:102), the performance appraisal system is a major instrument of performance management which provides and integrates all information critical for making decisions related to the task of managing institutional performance. The same authors further argue that the performance appraisal system forms an integral part of the institution, and has the capability to produce a major institutional impact and affect a multitude of institutional processes that drive institutional performance (Pavlov & Bourne, 2011:104). Similarly, Bourne et al. (2003:3) argued that performance appraisal is an integral part of the management planning and control system of the institution. Performance appraisal is considered a tool for effecting change, improvement and a cornerstone for efficient and effective management of any institution (Amaratunga & Baldry, 2002:217; Kennerley & Neely, 2002:1222; Franco-Santos & Bourne, 2005:114). As explained by Longenecker & Ludwig (1990:964), performance appraisal systems must be viewed as both a tool for the manager's use to improve employee, department and institutional performance and as a set of data to be used by the human resource department in the management of a broad array of human resource functions. According to these authors, performance appraisal is a means for the manager to prompt, encourage, reward and motivate

and to enable the human resource department to determine critical human resource decisions such as compensation, promotion, training and employee development (Longenecker & Ludwig, 1990:967). Performance appraisal is defined as a formal documented system used by institutions to regularly measure and evaluate an individual employee's performance and behaviour during a given time period, usually one year (Banner & Cooke, 1984:327; Wilson & Western, 2000:384). Theoretically, it is defined as an objective, rational and systematic attempt on the part of the manager to accurately describe employee performance (Longenecker, 1989:77). Appraisals are conducted by the employee's immediate manager (Bowman, 1999:565). According to Amaratunga & Baldry (2002:217), performance appraisal systems were historically developed as a way of monitoring and maintaining institutional control so as to ensure that an institution pursues strategies that lead to the attainment of overall goals and objectives. Performance appraisal systems are generally used to evaluate and monitor individual and institutional performance; to link individual performance to institutional objectives; to improve work performance; to correct poor performance and promote continued satisfactory performance; to identify areas of strengths and weaknesses; to improve dialogue and communication between managers and employees; to create desired employee behaviours; for coaching and counselling; to identify training and development needs; and to validate administrative decisions regarding salary increases, promotions, demotions, terminations and transfers (Banner & Cooke, 1984:327; Longenecker & Ludwig, 1990:961; Boice & Kleiner, 1997:197; O'Donnell, 1998:30; Bowman, 1999:557; Wilson & Western, 2000:384; Williams, 2003:643; Rees & Porter, 2004:29; Fryer et al., 2009:480).

Fryer et al. (2009:481) identified four aspects of the performance appraisal, namely: (i) deciding what to measure, (ii) how to measure it, (iii) interpreting the data, and (iv) communicating the results. Firstly, deciding what to measure involves the development of performance indicators. Early performance management practices were concerned mainly with quantitative indicators (normally financial and numerical) excluding qualitative indicators (Pavlov & Bourne, 2011:103). As noted by Ittner & Larcker (1998:217) and Bourne et al. (2003:4), early performance measures were internally focused; historical and backward looking; lacked predictive ability to explain future performance; rewarded short-termism; did not capture key institutional changes until it was too late; did not measure intangible assets and intellectual capital; were not linked to strategy; and were more concerned with departmental performance than with the overall performance of the institution. As a result, they were not

comprehensive and failed to provide full information on all areas critical to institutional success or performance.

However, in the late 1980s and early 1990s, more balanced performance measurement systems were introduced such as the performance measurement matrix, the results and determinants framework, the balanced scorecard, the strategic measurement and reporting technique and performance prism (Kennerley & Neely, 2002:1224; Bourne et al., 2003:4). Data collection is often time-consuming and expensive (Kennerley & Neely, 2002:1233). As argued by Fryer et al. (2009:481), performance indicators fall into four categories, namely: (i) output (how much is being produced), (ii) welfare (the value to the final users), (iii) performance (how the services are being produced), and (iv) composite indicators that integrate the other three. The choice of performance measures is one of the most serious challenges facing institutions (Ittner & Larcker, 1998:205). Institutions often lack appropriate skills to design performance measures or quantify performance (Ammons, 2002:344; Kennerley & Neely, 2002:1238). The capacity to gather performance data is often lacking in many institutions (Berman, 2002:350). In addition, performance measures are hardly used by institutions (de Lancer et al., 2001:694). One explanation for this is that it may be expensive to obtain, use and maintain performance measures (Dikolli et al., 2009:127). The second explanation relates to the technical measurement challenges that hinder the development of measures that are valid, reliable, timely and useful (Dull, 2008:263).

The second step after deciding what to measure, that is, the development of performance indicators, is to decide how, and the frequency of measurement. Fryer et al. (2009:483) contend that it is important to know the following in order to develop an effective indicator: (1) the assumptions regarding the indicator and the rationale for measuring it; (2) the precision and accuracy of any measurements; (3) congruence – many indicators are proxies so it is essential that the indicator changes in line with the actual behaviour; (4) whether a static measure, a value at a point in time or a vector, or a value and direction of change is more appropriate. Generally, a vector will be more informative, but institutions normally use static measures; (5) whether a soft or hard measure is required; (6) if the indicator is going to measure results or behaviour; and (7) what are likely intended and unintended consequences of the measurement system. These authors further argue that it is essential that an operational definition for the indicator be developed, the data are replicable, and the data sources are clearly defined. Regarding the frequency of measurement, the general trend is that indicators tend to focus on

short-term results at the expense of the long-term or quality goals and objectives. The data collected, analysed and communicated is often outdated. This is often the case with lagging or reactive indicators which report results after the event has occurred. Lagging indicators provide information about past performance. Examples of lagging indicators are annual reports, and annual customer satisfaction surveys. To address the shortcomings of lagging indicators, institutions are now moving to leading indicators which are used to predict future performance or communicate the direction of future performance. For example, employee satisfaction can be used to predict customer satisfaction (Grizzle, 2002:363; Epstein & Roy, 2005:78; Fryer et al., 2009:483-484; Pavlov & Bourne, 2011:107).

The third step is interpreting the data or results. According to Bourne et al. (2005:384), interpretation is concerned with extracting meaning from the performance appraisal system. There are two main problems associated with this step, namely: (i) how to collect data and (ii) how to turn the data into information that could be used as the basis for management decision making (Fryer et al., 2009:484). Institutions often lack the appropriate skills to effectively collect, analyse and interpret data (Kennerley & Neely, 2002:1233).

The last step is communicating the results. Performance reporting is less documented (Fryer et al., 2009:484). The traditional methods of performance reporting such as the annual report provided limited performance information with inadequate explanation or comparative data which compelled stakeholders to interpret the results for themselves. As a result of this limitation, new methods such as the dashboards, a weighting factor that combines indicators and the performance information portfolio were recommended for the communication of results. It is advised that performance reporting should be timely so as to ensure that the information is presented while still relevant (Fryer et al., 2009:485). According to Kennerley & Neely (2002:1237), a performance appraisal system is composed of three components, namely: (1) individual measures that quantify the efficiency and effectiveness of actions; (2) a set of measures that combine to assess the performance of an institution as a whole; and (3) a supporting infrastructure that enables data to be acquired, collated, sorted, analysed, interpreted and disseminated. Kennerley & Neely (2002:1242) noted that a performance appraisal system needs the following four enabling factors to function efficiently and effectively.

• Process: the existence of a process for reviewing, modifying and deploying measures.

• People: the availability of people with the appropriate skills and training to use, reflect on, modify and deploy measures.

• Infrastructure: the availability of flexible systems that enable the collection, analysis and reporting of appropriate data.

• Culture: the existence of a measurement culture within the institution that ensures the value of measurement, and importance of maintaining relevant and appropriate measures.

Performance management literature showed that it is often difficult to develop effective performance appraisal systems. Performance appraisal systems are not generic or easily transferable from one institution to another. Generally, performance appraisal systems are often poorly designed as they are developed primarily for the sake of external performance reporting, and not for internal performance management (Boice & Kleiner, 1997:197; Ammons, 2002:345; Rees & Porter, 2004:29; Halachmi, 2005:504; Bento & White, 2006:52; Fryer et al., 2009:481; Maley, 2009:1; Hildebrand & McDavid, 2011:42).

Moreover, institutions often encounter challenges to develop objective and formula-based evaluations, hence, they often use performance appraisal systems based on subjective evaluations. Subjective performance evaluations have limitations. They increase the possibility of the institution reneging on its promise to reward superior performance because the evaluations are not verifiable, and are also liable to favouritism and rater bias (Ittner & Larcker, 1998:228; Moynihan & Pandey, 2010:860).

2.7.2 Human resource management systems

The second critical component of a PMS is a strong human resource management system (Verheijen & Dobrolyubova, 2007:211). Effective human resource management systems are essential to attract, develop and retain skilled and competent labour and to improve individual and institutional performance by creating an enabling work environment and promoting positive values, attitudes and behaviours that enhance performance (Commonwealth Secretariat, 2010:89). Some elements of a human resource management systems that are critical to the successful implementation of a PMS include effective communication, feedback, monitoring, evaluation and reporting; strategic planning and information and communications technology; accounting and audit; recruitment and selection and recognition and reward

(Schneier, 1989:206; Berman, 2002:350; Bouckaert & Peters, 2002:359; Halachmi, 2005:508; Verheijen & Dobrolyubova, 2007:211; Nielsen & Ejler, 2008:172; Fryer et al., 2009:480). It is critical that the PMS be supported and aligned with strong human resource management systems (de Waal, 2004:308). For instance, effective recruitment and selection systems are needed to ensure that the institution has employees with the requisite knowledge, skills and abilities (McCune, 1989:200). Strategic planning systems are needed to maintain strategic focus, drive the performance management process and avoid short-termism and the unintended negative effects of performance measurement (Verheijen & Dobrolyubova, 2007:211; Fryer et al., 2009:489). Performance-oriented management systems are critical as they support both the process and the outcomes of performance management to deliver properly at different levels of the institution (Adhikari, 2010:311).

Information and communications technology systems are needed to provide reliable and valid performance information and to automatically capture, process, analyse and report the data for the key performance indicators (de Waal & Counet, 2009:369). Monitoring and evaluation systems are needed to determine whether the implementation of the PMS is on the right track (Verweire & Van den Berghe, 2003:786). The PMS must be audited to ensure the accuracy of the data generated and the overall integrity of the process (Longenecker & Ludwig, 1990:968). Strong human resource management systems require strong leadership at both the political and administrative levels. Without strong human resource management systems even the best designed PMS would fail. The human resource management systems are often weakened by capacity constraints in public services (Verheijen & Dobrolyubova, 2007:212).

One conclusion that may be drawn from the literature reviewed is that in practice, it is often difficult to integrate all the components or systems of a PMS to ensure successful implementation. The systems that form an integral part of a PMS are often inadequate or not completely integrated with the programme (Bouckaert & Peters, 2002:359; Kiragu & Mutahaba, 2006:7; Halligan, 2007:232; Fryer et al., 2009:489). For example, a PMS is often implemented without some of its essential supporting tools such as the performance based reward system, balanced scorecard, information and communications technology system, and monitoring and evaluation system (Dull, 2008:261). The integration of a PMS with strategic planning and budgeting systems and human resource management systems is often weak (Bowman, 1999:567; Pollitt, 2005:33).

As argued by Pollitt (2001:9), the systems that are integral to the successful implementation of a PMS are often developed separately as parallel systems but are incompatible. For example, line item budgets which have separate appropriation or budget lines for salaries, travel, office supplies and so on are difficult to integrate within a PMS because they emphasise compliance with input appropriations rather than input of performance management information (Pollitt, 2001:18). It is important to note that the components of a PMS complement or support each other and failure to effectively implement one or more of the components affects the implementation of the programme. A step-by-step approach is required to successfully develop and implement a PMS. What follows next are steps needed in the development of a PMS.

2.8 STEPS IN THE DEVELOPMENT OF A PERFORMANCE MANAGEMENT SYSTEM

Performance management is an ongoing process, and not a once-a-year, snapshot event. It therefore operates as a continuous cycle (Armstrong & Baron, 1998:111; Halachmi, 2005:511). The development of a PMS involves the following steps.

2.8.1 Determination of the institution's mission and strategic goals and objectives

The first step in the development of a PMS is the determination of the institution's mission and strategic goals and objectives (Boice & Kleiner, 1997:197; Armstrong & Baron, 1998:59). According to McCune (1989:195), mission statements provide the strategic direction and rationale for corporate plans and basically answer the questions of "what is to be accomplished and for whom"? There are two critical tasks that are undertaken when developing the corporate mission statement – determining the strategic objectives and identifying and prioritising the important stakeholders in the institution. This also entails the identification of strategic performance measures. Armstrong (2006:54) defined objectives as something that has to be achieved by institutions, departments and individuals over a given period of time.

2.8.2 Determination of the departmental and individual objectives

The second step after the identification of the institutional mission and strategic goals and objectives, is to translate the institutional mission and strategic goals and objectives into departmental and then individual objectives. The individual and institutional objectives should be aligned (Fletcher & Williams, 1996:170; Chartered Institute of Personnel and Development,

2009:online). The alignment of objectives is one of the key tasks for performance management (Chartered Institute of Personnel and Development, 2009:online). Individual objectives constitute the employee's personal performance targets. The individual performance objectives are agreed between the manager and the supervisee. The aim is to create a greater feeling of ownership, not the imposition, of objectives (Armstrong, 2006:56). This is also done to promote a more open and positive working relationship between the manager and the supervisee (Chartered Institute of Personnel and Development, 2009:online). It is assumed that the involvement of employees and gaining their commitment to institutional objectives and values will lead to higher acceptance, motivation and improved performance at the individual level (Fletcher & Williams, 1996:171). The manager and the supervisee work out the specific objectives and their measurements. This involves the clarification, specification and communication of job roles, job description, responsibilities and performance standards, explaining how the personal job performance is linked to the overall performance of the institution and why objectives need to be achieved (Schneier, 1989:212; Boice & Kleiner, 1997:197).

The setting of performance standards assists employees to understand what they should be doing, how to do it and the performance results expected (Chartered Institute of Personnel and Development, 2009:online). Performance standards provide a basis for an objective review (Kirkpatrick, 1986:69). They also ensure that there are no surprises and confrontations during the performance review (Longenecker, 1989:80; Sahl, 1990:54). The development of individual objectives allows the employee to know well in advance the standards by which performance will be assessed. It is important that clear, understandable and measurable objectives are developed for each job position (Sahl, 1990:53). According to Stainer & Stainer (1998:116), the main purpose of performance measurement is to drive behavioural change in the desired direction.

2.8.3 Signing of performance and development agreement

The third step involves the signing of a performance and development agreement, also known as the performance contract (Armstrong & Baron, 1998:59).Performance agreements commit senior public servants to achieve certain institutional objectives and targets (O'Donnell & Turner, 2005:616). A performance agreement defines performance expectations, that is, the work to be done, the results to be attained, the performance standards to be achieved and the

competence levels required to achieve the results (Armstrong, 2006:18). The clarity of performance expectations is necessary to build understanding of the results employees have to achieve (Guinn & Corona, 1991:74). The agreement is usually reached at a formal review meeting and recorded during or after the meeting on a performance review form. The work to be done is agreed in terms of key result areas or principal accountabilities whilst in the case of relatively routine jobs such as administrative and clerical duties, it is by reference to main tasks or duties (Armstrong & Baron, 1998:59; Taylor & Pierce, 1999:424).

2.8.4 Development of the performance and development plan

The fourth step in the development of the performance management process is the performance and development plan. The performance and development plan is a joint exploration between the manager and the supervisee of what the supervisee needs to do and know and the skills and competencies that need to be developed in order to improve his or her performance, and how the manager can provide the support, guidance and coaching needed (Armstrong & Baron, 1998:61). The performance aspect of the performance and development plan focuses on the agreement on what has to be done to achieve objectives, raise standards and improve performance, and the key aspects of the job which needs to be given the most attention. Agreement is also reached on the methods of measuring performance and analysing evidence of levels of competence. It is critical that the manager and the supervisee have such an agreement because it will be used to monitor progress and document achievements (Armstrong & Baron, 1998:61).

At the individual level, this step includes the preparation and signing of a personal development plan. The personal and development plan provides an action plan for employee development with the support of the manager and the institution. It lays out the actions that the employee should take to develop his or her knowledge and skills and increase his or her levels of competence (Armstrong, 2006:19). This may be achieved through formal training, self-managed learning, job rotation, coaching, counselling, mentoring, project work, job enlargement and enrichment. Personal development planning is considered a key aspect of the performance and development management process (Armstrong & Baron, 1998:61).

2.8.5 Work, development and support

The fifth step is taking action, that is, work, development and support. Performance management assists employees to get into action so that they attain planned and agreed results. This step is a work-and people-related activity that focuses on what has to be done, how it should be done, what is to be achieved, and what has to be done to do even better in the future. This step is also concerned about the development of employees, assisting them to learn and providing them with the necessary support they require in order to perform well, now and in the future (Armstrong & Baron, 1998:61-62; Armstrong, 2006:49). Beer (1981:25) has identified the following as the goals of coaching and development: (1) to improve a supervisee's performance and develop future potential; (2) to develop commitment to the institution through discussion with supervisees of career opportunities and career planning; (3) to motivate supervisees through recognition and support; (4) to strengthen manager-supervisee relations; and (5) to diagnose individual and institutional problems. According to Meyer et al. (1965:127), coaching should be a day-to-day, not a once-a-year, activity. They provide two reasons why coaching should be a day-to-day activity. First, employees tend to reject criticism if provided in high numbers as is the case with comprehensive annual performance appraisals. Secondly, performance feedback is ineffective if provided after a prolonged time between the performance and the feedback.

2.8.6 Continuous monitoring and feedback

The sixth step is continuous monitoring and feedback. Performance management is a continuous process of managing and developing performance standards, monitoring and measuring performance, providing performance feedback, conducting informal progress reviews, updating objectives, dealing with performance problems, and taking appropriate corrective action (Armstrong & Baron, 1998:62; Armstrong, 2006:19). This step promotes the continuous process of monitoring and managing performance throughout the year in order to support the achievement of institutional objectives. As observed by Halachmi (2005:511), performance is viewed as an ongoing process and not a once-off, snapshot event.

This step also requires that managers observe the supervisee's actual performance on a regular basis, store and later recall relevant performance data (Longenecker, 1989:78). It further requires that managers provide supervisees with regular and instant performance feedback,

developmental feedback, coaching and reinforcement on the work they have done satisfactorily or unsatisfactorily (McCune, 1989:202; Guinn & Corona, 1991:74; Armstrong & Baron, 1998:62; Chartered Institute of Personnel and Development, 2009:online). Performance feedback assists supervisees to learn about themselves, how they are performing, and management values (Beer, 1981:26).

2.8.7 Formal performance review and feedback

The seventh and last step in the performance management process is formal review and feedback. Formal performance review meetings are held between the manager and the supervisee. They are supposed to be ongoing and regular, open, objective and honest. They may be held monthly, quarterly or twice a year. They provide a platform to assess progress against performance targets and for structured performance feedback and reflection. They also provide an opportunity to talk about performance and development (Longenecker, 1989:79-80; Armstrong & Baron, 1998:64; Chartered Institute of Personnel and Development, 2009:online). Regular performance reviews are held to keep performance objectives at the forefront of the employees' daily work, to reinforce the importance of the process to the institution, to provide opportunities for the clarification of objectives, and to review employees' progress toward planned results (Sahl, 1990:56). Making reviews an ongoing activity assists in eliminating the anxiety associated with performance appraisals by providing employees with ongoing feedback on their performance and by forcing managers to be in regular and constant contact and communication with their supervisees (Longenecker et al., 1988:318; Longenecker, 1989:80). Regular reviews assist in keeping employees' performance on the right track and taking the mystery out of the formal appraisal process by keeping employees informed of their performance throughout the performance plan period (Longenecker et al., 1988:319). It also assists the manager to manage short-run changes in work priorities, to take immediate corrective action to address poor performance problems and provides the data for the formal performance review (Longenecker, 1989:80). Conducting regular performance reviews assists in eliminating selective memory by the manager and the supervisee as performance is documented and recognised (Boice & Kleiner, 1997:198).

The formal review meeting is a joint affair between the manager and the supervisee. The joint review meeting emphasises dialogue, shared understanding, agreement and mutual commitment between the manager and the supervisee (Armstrong & Baron, 1998:386). It is

important that both the manager and the supervisee adequately prepare for the performance review. Ideally, during the review meeting, the manager and the supervisee should talk 50/50 or half the time each. The review meeting is supposed to be a two-way communications process. The supervisee should have input into the final review or appraisal, the determination of strengths and weaknesses, and the development of a performance improvement plan (Kirkpatrick, 1986:69; Longenecker et al., 1988:318).

There should be an element of self-assessment and self-managing by the supervisee to enhance his or her role and involvement in the review process. Self-appraisals promote the interactive nature of the review process (Longenecker et al., 1988:318; Guinn & Corona, 1991:74). According to Boice & Kleiner (1997:200), self-appraisals can lead to self-improvement, and assist the manager to gain an insight as to how the supervisee views his or her performance. In addition, self-appraisals assure the manager that the supervisee has had time to prepare for the review (Kirkpatrick, 1986:69). The review requires measurements of performance (Sahl, 1990:53). The review meeting focuses on analysis and review of the significant points emerging from the performance period under consideration. It takes note of what has been achieved and what has not been achieved in order to draw lessons for the future. It notes the progress made in implementing the personal development plan. It also affords the supervisee the opportunity to discuss his or her performance and to comment on the leadership, support and guidance he or she receives from the manager (Armstrong & Baron, 1998:64). Above all, it allows for clarification and revision of objectives, priorities and other performance-related factors such as changing conditions of the job and institution needs (Sahl, 1990:56; Boice & Kleiner, 1997:199). The main purpose of the review meeting is developmental (improvement of future performance) and not judgemental (fault-finding). It is not a top-down appraisal session where the manager makes a unilateral judgement about the supervisee's performance and behaviour. The role of the manager during the review meeting is to provide constructive feedback and to listen to what the supervisee has to say about his or her performance and development needs. The manager has to provide specific, behavioural feedback and coaching and not criticise the supervisee's performance (Guinn & Corona, 1991:72; Armstrong & Baron, 1998:65). As explained by Longenecker (1989:80), the review meeting is a useful communication tool used for stocktaking with the primary aim of improving employee performance and development.

If the review takes the form of an appraisal session, an overall rating of the supervisee's performance will be given. In this case, the supervisee should be accorded the opportunity to comment on the overall performance rating. The employee may get a reward or recognition for meeting or exceeding the performance expectations (Guinn & Corona, 1991:72; Taylor & Pierce, 1999:424). Some institutions do not require an overall performance rating (Armstrong & Baron, 1998:66).

To conclude, it is important to note that the PMS should be evaluated to assess its strengths and weaknesses, impact and whether it is achieving its intended objectives (Chartered Institute of Personnel and Development, 2009:online). Studies show that managers and employees often do not understand how the different steps of the PMS relate to each other (Bento & White, 2006:52). There are many reasons why institutions introduce a PMS. The next section identifies some of the objectives and benefits of a PMS.

2.9 OBJECTIVES AND BENEFITS OF THE PERFORMANCE MANAGEMENT SYSTEM

In general, institutions introduce a PMS as an important tool to improve individual and institutional performance and productivity, product or service quality, cost effectiveness, operational efficiency, customer service, accountability and responsiveness, and to achieve value for money (Longenecker, 1989:76, 1997:212; ; Schneier, 1989:205; Bale & Dale, 1998:103; Pollitt, 2001:11; Ammons, 2002:344; Hope, 2002:534; Brown, 2005:471; Kiragu & Mutahaba, 2006:7; Fryer et al., 2009:478). More specifically, a PMS is introduced to achieve the following objectives and benefits.

i.   First and foremost, to create a performance culture; appraise employee performance; achieve sustainable improvements in individual and institutional performance; to assess performance against set objectives; to align individual and institutional objectives; to improve management of resources; to create a motivated and committed workforce and to bring about change in culture and ethos (Fletcher & Williams, 1996:169; Boice & Kleiner, 1997:197; Armstrong & Baron, 1998:51; Wiese & Buckley, 1998:233; Nankervis & Compton, 2006:87; Brudan, 2009:online). In light of the above, Bouckaert & Peters (2002:359) concluded by noting that performance management is considered a key to the modernisation process of the public sector.

ii. A PMS generates performance information that promotes evidence-based management and rational decision making (de Lancer Julnes & Holzer, 2001:693; Ammons, 2002:344; de Waal, 2003:688; Mayne, 2007:92; Dormer & Gill, 2010:45). A PMS is used by institutions as a tool to enhance the objectivity and validity of administrative decisions regarding appointments, salary increases, training, promotions, demotions, terminations, retentions, and transfers (Sherwin, 1957:63; Beer & Ruh, 1976:59; Levinson, 1976:30; Beer, 1981:25; Bale & Dale, 1998:106; Brudan, 2009:online).

iii. A PMS provides ongoing opportunities for managers to support, guide, coach and counsel employees (McGregor, 1957:89; Armstrong & Baron, 1998:52; Wiese & Buckley, 1998:234).

iv. A PMS contributes to human resource development by providing performance feedback on employee strengths and weaknesses; mentoring, coaching and counselling; suggesting changes in employee behaviour, attitudes, skills or job knowledge; and by identifying employee training and development needs (Bricker, 1992:70; Longenecker, 1997:212; Armstrong & Baron, 1998:52; Wiese & Buckley, 1998:243; de Waal, 2003:688; Nankervis & Compton, 2006:87). Training and development contribute to personal and professional growth and aim to rectify deficiencies in employee performance and to improve staff competencies (Armstrong & Baron, 1998:81).

v. A PMS provides a results-oriented framework that promotes performance and strategic planning; objective setting; regular performance review; resource allocation; programme management, monitoring, evaluation and reporting; quality service; customer service; stakeholder focus; and ownership, responsibility and accountability for results (Bale & Dale, 1998:106; de Lancer Julnes & Holzer, 2001:695; Henderson & Hacker, 2002:1-6; Kiragu & Mutahaba, 2006:7; Nankervis & Compton, 2006:85; Washington & Hacker, 2009:1-5).

vi. A PMS provides a framework that promotes ongoing communication and dialogue between managers and employees on issues relating to performance, quality, review of progress and objectives, and training and development needs (Armstrong & Baron, 1998:53; Rees & Porter, 2004:32). The ongoing communication and dialogue between managers and employees may increase employee motivation, satisfaction and commitment to the institution as well as create shared understanding of performance expectations (Bricker, 1992:70; Armstrong & Baron, 1998:52; Wiese & Buckley, 1998:234; O'Donnell, 2005:618).

vii. A PMS is introduced to encourage continuous performance improvement and develop a learning institutional culture. A learning institution has structures and processes that improve the institution's ability to react and adapt to, and capitalise on changes in its internal and external environment (Amaratunga & Baldry, 2002:222).

viii. Finally, the performance management system assists institutions to deal with legal issues or risks of litigation by using a valid and reliable instrument of measuring an individual employee's performance; documenting job responsibilities; employees' strengths and weaknesses in the performance reviews; corrective administrative action taken to improve unsatisfactory performance; and administrative decisions regarding promotions, pay increases, terminations, demotions and transfers (Sashkin, 1981:49; Banner & Cooke, 1984:328; Bricker, 1992:69; Boice & Kleiner, 1997:200; Armstrong & Baron, 1998:52; Wiese & Buckley, 1998:244; Glendinning, 2002:166; Mani, 2002:142).

As already indicated under the Background and Rationale and the Research Problem for this study, the implementation of a PMS is problematic and fraught with difficulties and complexities. Therefore, the next section discusses the general problems encountered in the implementation of a PMS.

2.10 GENERAL PROBLEMS ENCOUNTERED IN THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM

Below are some of the general problems encountered by institutions when implementing a PMS. First, there are human or behavioural factors that affect the successful implementation of the programme. Generally, there is a reluctance to implement a PMS by staff members because of fear of performance appraisals and resistance to change or fear to adopt new ways of doing things. Managers are often unwilling to appraise supervisees' work performance while supervisees on the other hand do not want to be evaluated (McGregor, 1957:89; Beer & Ruh, 1976:59; Levinson, 1976:44; Beer, 1981:27; Bricker, 1992:69-70; Longenecker, 1997:212; O'Donnell, 1998:32; Bowman, 1999:557; O'Donnell & O'Brien, 2000:27; Bourne et al., 2002:1301; Ford, 2004:551; Norris & Kushner, 2007:9).

Performance appraisals are often perceived by both managers and supervisees as lacking procedural fairness (Winstanley & Stuart-Smith, 1996:68). There is often fear that performance would be assessed unfairly and subjectively and that performance appraisals may be used as a political tool to reward favourites and to punish the less favoured (Pollitt, 1986:168; Bowman, 1999:567; O'Donnell & O'Brien, 2000:21; Grizzle, 2002:366; O'Donnell, 2005:622). In cases where the performance appraisals are used as a political tool, instead of promoting a performance-oriented culture, the PMS will lose credibility and employees will sabotage its implementation (de Waal, 2004:303; de Waal & Counet, 2009:369-370; Fryer et al., 2009:480). Lack of trust and credibility are some of the general problems that hinder the successful implementation of a PMS (Longenecker, 1989:77; Dahlström & Lapuente, 2009:6).

The reluctance to implement a PMS is also attributed to lack of requisite technical and conceptual knowledge and skills, training and education required to implement and manage the programme. Generally, managers often lack appropriate skills and training in performance planning; goal/objective setting; supervisory and people management skills; communication and interpersonal skills; decision making; conflict resolution; coaching and counselling; setting performance standards; performance measurement tools; and rating and conducting good performance appraisal interviews. Supervisees on the other hand often lack training in how to set objectives; how to measure and document performance accomplishments; how to adequately prepare for performance appraisal interviews; and how to communicate all aspects of performance (McGregor, 1957:89; Beer, 1981:27; Sashkin, 1981:43; Kirkpatrick, 1986:69; Longenecker, 1989:81, 1997:216; Bricker, 1992:70; Boice & Kleiner, 1997:198; O'Donnell & O'Brien, 2000:27; Ford, 2004:558; Fryer et al., 2009:482).

Another explanation why managers and supervisees are often reluctant to implement a PMS is that they view the programme as an extra management chore, compliance burden and a new form of management surveillance and control that is used to police the performance management process (Sherwin, 1957:70; Schneier, 1989:210; Bricker, 1992:69; Winstanley & Stuart-Smith, 1996:69; Wilson & Western, 2000:389; Berman, 2002:349; Rees & Porter, 2004:29; Moynihan, 2005:236; Dull, 2008:260; Ohemeng, 2009b:21; Prowse & Prowse, 2009:72). Due to the daily institutional work pressures, deadlines and time constraints, the implementation of a PMS in most institutions is often a secondary priority (Bowman, 1999:567; Bourne et al., 2002:1296; de Waal & Counet, 2009:368).

The implementation of a PMS often takes considerably more resources, time and effort than originally planned without producing immediate results which ultimately leads to programme implementation losing momentum before it is institutionalised (Kaplan, 1998:111; Bourne et al., 2002:1289; de Waal & Counet, 2009:368). Consequently, many institutions often have difficulties maintaining momentum over the long term (Mayne, 2007:94). Staff members may view the costs of designing and implementing a PMS as far greater than the potential benefits. The final human factor relates to resistance to change or fear of adopting new ways. New and complex programmes such as a PMS that require fundamental changes in management practices, values and norms and involve a large number of employees and multiple stakeholders are often difficult to implement (Beer & Ruh, 1976:65; Bourne et al., 2002:1289; Moynihan, 2005:221; Mayne, 2007:89; Fryer et al, 2009:489; Brynard, 2010:194). This problem is further exacerbated by lack of performance management culture or result-oriented culture in most institutions (de Waal, 2004:301; Mayne, 2007:92; de Waal & Counet, 2009:367; Ohemeng, 2009b:1; Broad & Goddard, 2010:64). In addition, institutional learning is a major challenge for many institutions (Mayne, 2007:94). It is often difficult for institutions to shift from the entrenched command and control or old bureaucratic culture to the performance-oriented culture (Ohemeng, 2009b:14; Brudan, 2010:116). The implementation of a PMS is often more difficult in the public sector than in the private sector because it is slower to effect behavioural/attitudinal and institutional change in the former due to the multi-faceted nature and the political environment in which it operates (Mayne, 2007:91; Fryer et al., 2009:482; Ohemeng, 2009b:2; Brudan, 2010:116; Ohemeng, 2010a:126).

It is often difficult to develop and implement an effective PMS. There are inherent technical problems relating to the complexities and dynamics of the design and implementation processes; evaluation of performance; devising appropriate performance criteria, rating instrument and good performance indicators; collecting and interpreting performance data; and communicating performance results (Longenecker, 1997:213; Pollitt, 2001:13; Bourne et al., 2002:1298; de Waal, 2003:689; Halachmi, 2005:504; Bento & White, 2006:52; Fryer et al., 2009:481; Maley, 2009:1). Generally, institutions do not invest adequate human and financial resources, time and effort to customise the PMS to suit their specific characteristics, needs and contexts (Boice & Kleiner, 1997:197; Fryer et al., 2009:482). Institutions seldom carry out compatibility or pilot/readiness test before they embark on full-scale implementation of the programme (Kaplan, 1998:111; de Lancer Julnes & Holzer, 2001:703; Bouckaert & Peters,

2002:360; Kennerley & Neely, 2002:1227; Christensen & Laegreid, 2008:17). The implementation of a PMS often fails because of hurried implementation (Pollitt, 1986:168). Furthermore, its implementation is often based on best practice rather than best fit to the institutional environment (Armstrong & Baron, 1998:388). Implementers are often given limited guidance on how to implement the programme (Hill, 2003:266).

The implementation of a PMS often lacks broad-based public, political and administrative support (Polidano, 2001:346). This is partly because most such systems are often designed and implemented using top-down rather than bottom-up or participatory approaches (Ohemeng, 2009b:4; Ohemeng, 2010b:127). Top-down approaches rarely involve the public or stakeholder participation in the design and development of the programme (Polidano, 2001:350; Furnham, 2004:92; de Waal & Counet, 2009:369; Fryer et al., 2009:492; Ohemeng, 2009b:23).

According to Moynihan & Pandey (2010:856), popular participation is at variance with the technocratic decision making approaches, hence the reluctance by public managers to involve all key stakeholders into PMS. This point is echoed by Pollitt (1986:168) who observed that senior politicians and senior officials often exclude the general public because of the uncertainty and time-consuming untidiness of direct consultation. Consequently, the implementation of a PMS is often imposed upon staff members or mandated (Beer & Ruh, 1976:65; Bouckaert & Peters, 2002:361; Fryer et al., 2009:489). Due to lack of stakeholder participation in the design and development of a PMS, the implementation of the programme often lacks legitimacy, buy-in, approval, support and commitment of the general public, political leaders, staff members and trade unions (de Waal & Counet, 2009:369; Ohemeng, 2009b:23; Ohemeng, 2010b:127). As a result of a lack of involvement and consultation, PMS are often viewed by staff members as outside the scope of their real jobs and as human resource department systems that are forced upon them (Longenecker, 1989:81; Schneier, 1989:209). The reasons for implementing a PMS are often poorly understood by staff members (Beer & Ruh, 1976:65; Schneier, 1989:208; de Waal & Counet, 2009:369).

The implementation of a PMS is often hampered by resource constraints and lack of institutional capacity. Institutions often start the implementation with insufficient resources (budget) and capacity (human resources) (Pollitt, 1986:159; Polidano, 2001:347; Kennerley & Neely, 2002:1236; Moynihan, 2005:238; Kiragu & Mutahaba, 2006:7; de Waal & Counet, 2009:368; Ohemeng, 2009b:4; Ohemeng, 2010b:125). This is partly so because the

implementation of PMS in the public service is often externally imposed by international development agencies/international financial institutions or mandated by government policy regardless of the institution's ability to implement the programme (Ittner & Larcker, 1998:233; Talbot, 1999:22; de Lancer Julnes & Holzer, 2001:702; Micheli & Kennerley, 2005:127; Samaratunge et al., 2008:28). Institutions often lack the experience, knowledge and expertise to implement a PMS, hence rely on management practitioners, consultants, academics and professional organisations to assist them during implementation. The use of outside expertise sometimes complicates the implementation by creating differences of understanding and interpretation between the experts, political leaders, programme designers, implementers and users resulting in confusion and ambiguity (Brynard, 2010:200). As argued by Kaplan (1998:04), consultants and practitioners may not fully understand the new concept which may result in it being implemented badly. It is important that the implementation should be undertaken by knowledgeable and skilled consultants and practitioners who have experience in designing PMS and have already addressed some of the implementation challenges (Guinn & Corona, 1991:72; Kaplan, 1998:107).

PMS such as those that were originally developed in advanced industrialised countries are not easily transferable to conditions in developing countries as in Africa and Latin America (Ingraham, 1993:349; Schick, 1998:123; Polidano, 2001:346; Polidano & Hulme, 2001:298; de Waal, 2007:72). The literature shows that a programme that works well in one setting may be inappropriate in another (Kaplan, 1998:106; Furnham, 2004:88). Due to the problems of transferability, the implementation of a PMS in developing countries had been problematic.

Comparatively, implementation of a PMS has fared better in countries of the Anglo-Saxon administrative tradition than those of "Rechtsstaat" traditions; in majoritarian party systems than in consensualist systems; in countries which had long tenures of right-wing governments that embraced the basic New Public Management doctrines; in countries where there is clear separation of careers between politicians and senior civil servants; in countries with cultures that score lower on uncertainty avoidance and higher on individualism than in countries that score higher on uncertainty avoidance and high on collectivism; and in countries with established traditions of administrative reforms and strong and stable public administration systems (Ayeni, 2001:3; Pollitt, 2005:28; Christensen & Laegreid, 2008:9; Bouckaert & Halligan, 2009:6; Dahlström & Lapuente, 2009:2).

Implementation of a PMS is often constrained by institutional and environmental factors such as reorganisations, restructurings, mergers, acquisitions, and budget cuts (Verweire & Van den Berghe, 2003:787; de Waal & Counet, 2009:369; Fryer et al., 2009:478; de Waal, 2010:60). The institutional and environmental factors often distract institutions from focusing fully on the implementation by creating conflicting demands on resources and management's time, effort and attention (Bourne, 2005:111). According to Verweire & Van den Berghe (2003:784), the implementation of a PMS will be difficult in institutions where the following five management and institutional processes are undeveloped: goal-setting; operational; support; control; and organisational behaviour processes and structures.

Implementation of a PMS is often hampered by lack of clearly stated and understood institutional vision, mission, strategy and objectives. In cases where these are ambiguous, the institution will face difficulties in developing relevant and appropriate critical success factors, key performance indicators, and institutional, team and individual performance objectives and targets (Bourne et al., 2002:1289; Bourne et al., 2003:18; Verweire & Van den Berghe, 2003:787; de Waal, 2004:303; Dull, 2008:261; de Waal & Counet, 2009:370). Strategic alignment or strategic fit is considered a *sine qua non* for effective implementation because it creates a fit between institutional strategy and the integral components of a PMS (Verweire & Van den Berghe, 2003:782; Davenport & Gardiner, 2007:304).

Implementation of a PMS is often difficult in institutions where there is no link between performance and the recognition and reward systems (Bourne et al., 2003:18; Verweire & Van den Berghe, 2003:788; de Waal & Counet, 2009:371). According to Schneier (1989:206), recognition and reward systems are critical to the success of large-scale change. In institutions where good performance is not recognised and rewarded, the implementation will be difficult (Mayne, 2007:92). In the public sector, there is often lack of distributive justice. That is, the distribution of rewards is not proportionate to the contribution employees make (Kelloway, 2004:8). Monetary rewards such as salary increases and bonuses are frequently awarded on an across-the-board basis without any direct link to actual job performance (Schneier, 1989:208; Bowman, 1999:568).

The implementation of a PMS will be difficult in institutions where there is no person, team or unit appointed to oversee the development and implementation of the programme (Bourne et al., 2002:1296; Mayne, 2007:95; de Waal & Counet, 2009:371). If there is no PMS

facilitator/co-ordinator, team or unit to own, coordinate, monitor and drive implementation, the programme will not be given top priority. Thus, a strong and credible champion/leader or leadership team is required for successful implementation (Mayne, 2007:92; Dull, 2008:256). Well trained, skilled and highly motivated change agents are needed to implement a PMS (Kaplan, 1998:109).

Lastly, implementation of a PMS is often affected by change of management. If the previous management who supported the implementation of the system is replaced by a new and unsupportive management, the pace of implementation may slow down because the programme will be given low priority, or it may be abandoned due to lack of top management support (Kaplan, 2001:368; Bourne et al, 2002:1303; de Waal & Counet, 2009:372).

2.11 THEORETICAL FRAMEWORK

A number of theories have emerged on the way the performance of organisations has been studied (Griffin, 1990). These theories state how some components in an organization affect the performance of its members and the organization as a whole. An example is the scientific management theory concerned with performance and efficiency in the 1900s, when it was felt that organizations should be reorganized in a certain way for them to be able to perform and make a difference (Moorhead & Griffin, 2004). The human relations movement on the other hand spoke about how low morale of the employees within an organization affected performance. It was thought that unhappy employees could not be good performers, and therefore, organizations should look into making sure that employees were satisfied with their jobs, and with their environment in order for them to be able to perform at their best (French, 1998). In 1943, Maslow came up with the hierarchy of needs theory which talked about the different needs that had to be satisfied for employees to be motivated to do their work. If these needs were not met, then employees would remain demotivated. In 1960, McGregor published Theory X and Theory Y that looked at different behaviours that employees displayed (Moorhead & Griffin, 2004). In the 1970s and 1980s, the concept of organizational culture came into being, and the notion that if the culture of the organization was weak, then this created problems for the organization, which might lead to under performance.

2.11.1 Theory Z

Theory Z was developed by William Ouchi, a Japanese expert and management researcher, in the 1980s. Theory Z is an extension of Douglas McGregor's (1960) *Theory X* and *Theory Y* concepts. The principal change is that McGregor's Theory X and Theory Y preparation was an effort to differentiate among the individual leadership styles of a personal supervisor, whereas Theory Z is worried about the "culture of the whole organization." It is concerned with the way the whole organization is put together and managed. It is a business management theory that integrates Japanese and American business practices. This theory emphasizes the principle of participative management. It is a humanistic approach to a managerial design concerning employee/employer relationships. It encourages employee participation in setting goals, solving problems, taking decisions and designing and implementing change. Participation or involvement is seen as a motivation factor for employees to perform.

According to Gerber et al. (1987), this theory can be useful in a country like South Africa, where there is a general need for mutual recognition within an ethnically or culturally diverse employee corporation. It could be beneficial to South Africans, and would entail acceptance of the following:

- Democracy in the workplace;
- The realisation that people are the most important asset of an organization;
- That job satisfaction experienced by the employee is not only beneficial to that particular employee, but to the organization, the family and the community as a whole;
- That the policies, procedures, rules, regulations are meant to serve as a guide for the organization and employees, and should not just be followed without question;
- That the responsibility lies within the employee;
- That good relationships within an organization contribute towards good behaviour being displayed by employees;
- That it is a human right that every employee be respected by the employer despite the position that they hold within the organization;
- That every employee irrespective of race, gender, sex, etc. is a human being and should be respected; and
- That employees should be remunerated according to the way that they are performing thereby increasing productivity for the organization.

2.12 CONCLUSION

Chapter 2 covered the literature review and theoretical framework. Chapter 3 will address research design, study site, target population, sampling strategies, sample size, data quality control, data analysis, ethical consideration and limitation.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

Qualitative research was used for this study. Evidence on performance management was collected together with the impact of this on the higher education sector, through structured interviews, the use of available university information (PMS information available to HR) and observations.

3.2 RESEARCH APPROACH

Qualitative research guided this study in order to describe the academic staff perception of the PMS at a selected University in KwaZulu-Natal. In their recent fourth edition, Denzin & Lincoln (2013) state that researchers identified grounded theory as a useful qualitative method to adopt. The rapid rise of mixed methods is a movement heralding a paradigm shift analogous to the qualitative research shift that Denzin & Lincoln started in 1994.

Creswell, in 2007, argued that the qualitative method extends mixed methods practice and may be given priority in mixed methods projects. For the purpose of this study, qualitative methods were used for various purposes, including collecting multiple data from numerous sources, analysing extensively and describing the perception of the UKZN academic staff on the PMS.

3.3 RESEARCH DESIGN

This study was qualitative in nature, guided by structured interviews. The structured interview guide was used because of the expertise of the academic staff and willingness to participate. Due to time constraints, communication was also done via e-mails, which was chosen as the method that would best suit everyone. According to Powell (1996), the structured interview guide was one of the most common methods of data collection in qualitative research. However the researcher was required to have a sound understanding of its use and appropriateness. The ability to conduct interviews is developed over time and to aid the researcher other researchers were consulted to critically appraise the audio recordings.

3.4 STUDY SITE

The study was conducted at the UKZN College of Humanities in the School of Built Environment and Development studies. This school is in the Howard College campus, and there are six disciplines within the school, which are Architecture, Planning, Housing, Development Studies, Population Studies and Community Development. This school was chosen because it was observed that the staff within the school was underperforming in as far as performance management was concerned.

3.5 TARGET POPULATION

The target population was the academic staff in the School of Built Environment and Development Studies. The academic staff ranged from tutors to professors within the school. The population of academic staff was approximately 47 and the sample used for this study was 20. This meant that the sample was proportionate to the population from which it was taken. The ages of the 20 academics ranged between 25 and 60, and all of them were permanent members of staff. The participants included the Dean and Head of the school, academic leaders and the academic staff. Both male and female academics of different ethnic groups were used as participants.

3.6 SAMPLING STRATEGIES

The researcher used purposive sampling as the sampling strategy for this study. This non-probability sampling was used because the researcher focussed solely on the academic staff in the School of Built Environment and Development Studies. The intention was to ascertain why these academics in this particular school were non-compliant when it came to the PMS.

3.7 SAMPLE SIZE

The sample size of this study was composed of twenty academics in the School of Built Environment and Development Studies, College of Humanities at the UKZN. These comprised the school's Executive and academic staff in general. The sample included males and females of all races, permanent academic staff members of the School of Built Environment and Development Studies.

3.8   INCLUSION AND EXCLUSION CRITERIA

Inclusion criteria

- This study included academic staff who had worked for the institution for more than six months, who were willing to participate, were more than 18 years old and who spoke English.

Exclusion

- This study excluded academic staff who had worked for the institution for less than six months, who were unwilling to participate and were less than 18 years old who did not speak English. Those who had worked for less than six months in the institution were not willing to participate because they didn't have experience and never been involved on the performance management.

3.9   DATA COLLECTION INSTRUMENT

This study used a structured interview guide. This method of data collection was simply a technique that was used to collect empirical research data. It enabled the researcher to "get" the information.

3.10 DATA COLLECTION PROCESS

Permission to conduct the interviews was sought from the Dean and Head of School of the Built Environment and Development Studies. Prospective participants were identified, such as academic leaders from all six disciplines falling under the School together with all prospective professors under each discipline and senior lecturers who dealt with performance management. Each interview lasted 45 minutes.

3.11 TRUSTWORTHINESS

It is pertinent to address how qualitative researchers establish that a research study's findings are credible, transferable, confirmable, and dependable. Trustworthiness is all about establishing these, which are described below.

3.11.1 Credibility

Credibility is the confidence that can be placed in the truth of the research findings. It establishes whether the research findings represent plausible information drawn from the participants' original data and is a correct interpretation of the participants' original views.

3.11.2 Transferability

This is the degree to which the results of qualitative research can be transferred to other contexts or settings with other respondents. The researcher facilitates the transferability judgment by a potential user through thick description.

3.11.3 Dependability

This establishes the stability of findings over time. Dependability involves participants' evaluation of the findings, interpretation and recommendations of the study such that all are supported by the data as received from participants of the study.

3.11.4 Confirmability

This is the degree to which the findings of the research study could be confirmed by other researchers. Confirmability is concerned with establishing that data and interpretations of the findings are not figments of the inquirer's imagination, but clearly derived from the data.

3.12 DATA ANALYSIS

Data analysis was guided by thematic content analysis. Qualitative data refers to non-numeric information such as interview transcripts, notes, video and audio recordings, images and text documents. Qualitative data analysis can be divided into the following five categories:

Content analysis. This refers to the process of categorizing verbal or behavioural data to classify, summarizing and tabulating the data.

Narrative analysis. This method involves the reformulation of stories presented by respondents taking into account the context of each case and different experiences of each respondent. In other words, narrative analysis is the revision of primary qualitative data by the researcher.

Discourse analysis. This is a method of analysis of naturally occurring talk and all types of written text.

Framework analysis. This is a more advanced method that consists of several stages such as familiarization, identifying a thematic framework, coding, charting, mapping and interpretation.

Grounded theory. This method of qualitative data analysis starts with an analysis of a single case to formulate a theory. Then, additional cases are examined to see if they contribute to the theory.

Developing and Applying Codes. Coding can be explained as categorization of data. A 'code' can be a word or a short phrase that represents a theme or an idea. All codes need to be assigned meaningful titles. A wide range of non-quantifiable elements such as events, behaviours, activities, meanings etc. can be coded. There are three types of coding:

Open coding. The initial organization of raw data to try to make sense of it.

Axial coding. Interconnecting and linking the categories of codes.

Selective coding. Formulating the story through connecting the categories.

Coding can be done manually or by using qualitative data analysis software such as NVivo, Atlas, Hyper RESEARCH 2.8, Max QDA and others. With manual coding folders, filing cabinets, wallets etc. can be used to gather together materials that are examples of similar themes or analytic ideas. Manual method of coding in qualitative data analysis is rightly considered as labour-intensive, time-consuming and outdated.

In computer-based coding, on the other hand, physical files and cabinets are replaced with computer-based directories and files. When choosing software for qualitative data analysis a wide range of factors such as the type and amount of data need to be analysed, time required to master the software and cost considerations need to be considered. Moreover, it is important to get confirmation from the research supervisor prior to application of any specific qualitative data analysis software. At this point the study would have already been done, themes identified and organized into categories and various aspects of the research topic will have been interpreted. This study had used Nvivo software for qualitative data analysis and Qualitative data refers to non-numeric information such as interviews. Axial coding was used to achieve the major themes and relationship among the open codes that shows the main theme that emerged from the qualitative data analysis.

3.13 ETHICAL CONSIDERATION

Ethical clearance was obtained from the Ethics Committee of UKZN. Permission was sought from the UKZN Registrar's office to conduct a research study on the perception of academic staff on the PMS in the School of Built Environment and Development Studies. Participants were asked to sign a letter of consent informing them of the purpose of the research and the fact that they would remain anonymous, and that they would be able to withdraw from the study at any time during the process of being interviewed or observed. This gave them the assurance that the study was confidential.

3.14 DATA MANAGEMENT

Enormous amounts of data may accumulate during the course of a qualitative research study. Data might be stored in many forms, such as original hard paper copies, computer files or photocopies. Researchers should specify in their research proposals what data management methods they will use and their involvement in data analysis. In addition, researchers should be familiar with policies related to record keeping before conducting a study. Data should be transformed into a retrievable form as soon as possible to prevent its loss or deterioration. Two rules might be useful to researchers: a numbered hard copy bound in a notebook would provide for easy follow-up in the event of future questions, and an electronic copy would provide a way to validate the date when data were entered. The required length of time that data should be retained varies, ranging from 3 to 10 years. Importantly, researchers should clearly understand

the data storage and retention policies of their funding agency or sponsoring facility. A verbatim record is often used to demonstrate the existence of data in the case of an audit, as well as for data confirmation. Data should be protected for possible future use in verifying research findings, setting priorities, or reanalysing.

3.15 DISSEMINATION OF THE FINDINGS

Research data are shared in many ways to advance knowledge in many fields. The mode for sharing data may depend on the sensitivity and ownership of the data, the complexity of the data set, and other reasons such as the researcher's preference. Data sharing is necessary because it can potentially help researchers validate, broaden, and generalize findings, as well as build new theories. Today, researchers are encouraged to access and share data; thus, data are becoming widely and internationally available. Researchers should raise questions regarding when, who, and how to share data before actually sharing their data. Research data should be finalized before releasing it to the public, unless the preliminary data are crucial to the public, such as the discovery of a severe side effect in a medicine.

Investigators might share their data by copying it to a diskette or transforming it into a data archive. A data sharing agreement should be made at the earliest possible time, when appropriate. Obtaining the Certificates of Confidentiality is one way researchers can protect identifiable research information from compelled disclosure. Many universities or other research facilities may have various ways of handling data sharing. Once data are available, researchers decide with whom they will share their data. Consequently, it is best for researchers to check the policies of their institution, as well as those of state and federal agencies, when appropriate, before collecting data, to avoid improper sharing of research data and findings. A checklist or guideline may also be useful for researchers. Although it is becoming more common to share scientific data, qualitative researchers may not share their data as readily because they are not comfortable with sharing their data or have a lack of knowledge about how and to whom they may share their data. Hence, proper training is necessary to maximize the potential sharing of qualitative data to augment knowledge in a specific field. The data is stored by the researcher in a locker in a secured room, accessible only to the researcher's supervisor. The data sheets will be kept for five years in the secure environment, after which they will be shredded

3.16 LIMITATIONS

Limitations of the study were time restraints and staff unwilling to disclose information for fear of persecution, more especially because this research was done by a Human Resources staff of the University. The outcomes of the study were restricted to the School of Built Environment and Development Studies in the College of Humanities, and not the whole university. This then meant that it cannot apply to the whole organization. Also, because only this school was included in the study, the findings of the survey and subsequent recommendations are only relevant to the academics of this school.

3.17 CONCLUSION

This chapter has covered research methodology, research design, study site, target population, sampling strategies, sample size, data quality control, data analysis, ethical consideration and limitation. The next chapter discusses the data analysis and interpretation of results for this study.

CHAPTER 4

DATA ANALYSIS AND INTERPRETATION OF RESULTS

4.1 INTRODUCTION

This chapter is concerned with analysis of data gathered from the interviewed respondents with the focus on the PMS in UKZN. A structured interview was conducted to gather information, and the questionnaire was carefully designed to derive appropriate responses in line with the aim of this study. The questions were grouped into five segments which were aligned with the three objectives of the study.

1. To describe the knowledge, practices and attitude of academic staff of performance management at a selected University
2. Describe the perceived benefits of performance management among the academic staff at a selected University
3. To explore the factors affecting the performance management at a selected University

The interviewees were twenty but twelve that were willing to participate of academic staff drawn from the College of Humanities, specifically from the School of Built Environment and Development studies in the UKZN. The respondents ranged from lecturers to professors which availed the researcher an ample opportunity to understand the views of the employees and the line managers. The interviewees were observed for six weeks in order to attain data saturation; all twelve respondents were fully covered. At this point further gathering of information became unnecessary. In line with the ethical requirements of UKZN, utmost confidentiality of the study participants was maintained. Each interview session took approximately 45 minutes. An audio recorder was used to record the interviews. The recorded audios were transcribed into a Microsoft word document before importing into the Nvivo 12 software. Nvivo 12 is a statistical tool for thematic content analysis used for qualitative research. Nvivo12 was useful in coding and organising the transcribed data into themes and sub-themes, and graphic understanding.

Axial coding was used to achieve the major themes and relationships among the open codes via the use of William Ouchi's Theory Z. Table 4.1 shows the main themes that emerged from the qualitative data analysis.

Table 4.1 Themes emerging from the study

Themes	Subthemes
1.Staff commitment to PM	Compliance
	Key Performance Areas
	Discipline specific
	Addressing the subjectivity
	Paying attention to Performance Development Plans (PDPs)
	Linking the PM with talent mapping
2.PM requirement	Twice a year
	Poor work assessment
3.OC impact of PM	Staff evaluation
	Research output
	Lack of feedback
	Essence of performance management
	Check employees quality
	Poorly implemented
	Monitoring of performance
	Review of performance management success
4.Aspect of OC effect of Employee Performance	Awards
	Cost centre payments
	Financial incentives
	Medical Aid and Car Scheme
	Promotion
	Recognition
	Research output
5.Effective training and development	Methods of Training and Developments
	Types of Training and Development

Theme number one which is staff commitment and theme number two which is Performance requirement belong to objective one. Theme numbers three and four which are Organizational Culture impact on performance management and aspect of OC effect of employee performance belong to objective two. Theme number five which is effective training and development belong to objective three. Table 4.1 illustrates the thematic analysis derived from the interview sessions. Each theme is related to one of the objectives of the study as generated from the Nvivo 12 software and the interpretations are provided in the sections below.

4.2 KNOWLEDGE, PRACTICES AND ATTITUDE OF ACADEMIC STAFF OF PERFORMANCE MANAGEMENT

The PMS is one of the most discussed constructs in the discipline of management and organisational theory (Ogbonna & Harris, 2000). It has been argued that the unique quality of an organisational culture is the source of strength of an organisation to have an edge over its competitors. Various researches have empirically investigated the organisational culture-performance relationship (Gordon & DiTomaso, 1992; Denison, 1990). Researchers believe that culture can have a significant relationship with superior performance if it is flexible enough to adapt to changes in the environmental conditions (Ogbonna & Harris, 2000). Furthermore, it is believed that culture must also possess a unique quality that is immitable and sustainable for successful organisational performance (Barney, 1986). From the foregoing, it can be affirmed that management could be used as a measuring tool for organisational performance (Magee, 2002).

The qualitative data gathered informs the management of UKZN. Figure 4.1 depicts the themes that emanate from the study respondents with respect to management impact on performance management.
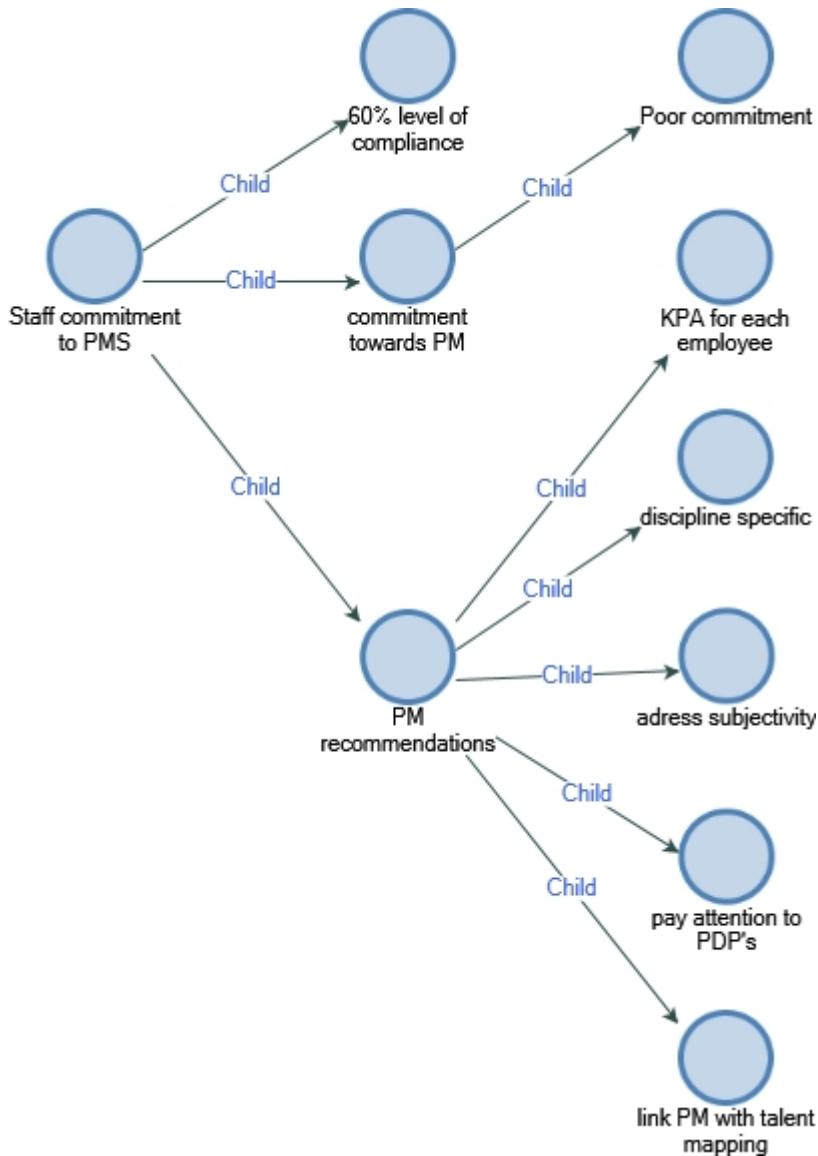
Figure 4.1 Staff commitment to PMS

There are various factors that could influence employees' lack of commitment to the PMS of an organisation. One of the ways to find out is through the employees themselves.

60% level of compliance: the findings from the analysed qualitative study shows that an average of 60% level of compliance was witnessed from the participants. These assertions are presented below:

Respondent 2:   *60%*

Respondent 12:   *it's 60% find committed, 40% not incentivize, before it used to be less 60% but now it has changed, people can see that they can make money*

One of the study respondents specifically talked about level of compliance in the discipline as posited below:

Respondent 10:   *can't talk about UKZN but for the discipline may be 5%*

The above statement reveals that academic staff from the School of Built Environment and Development Studies showed little or no compliance towards the performance management system.

Commitment towards PM: the level of commitment towards the PMS is affirmed by some study participants as being unserious and unsure. This is presented below:

Participant 3:   *they are not serious, because receiving a bonus seems unattai*nable

Participant 10:   *nobody takes it serious, many people do not take it serious, even the staff have never been trained, it just sent to complete as an Academic Leader never been trained people just do it for the sake of doing it*

Respondent 7:   *not sure*

Respondent 9:   *not sure, I am committed*

Respondent 12:   *not sure*

The overall commitment level of the academic staff within the discipline towards PMS could said to be very poor due to the poor implementation of the system. This was noted by the respondent below:

Respondent 2:   *Poorly committed because of the reasons of poor impl*ementation

Performance management recommendations: a number of factors were identified by the study respondents as lacking in the PMS. The recommendations are listed below:

KPA for each employee: it was recommended that KPAs should be designed according to each employee's rank and job description for effective measure of the PMS. This was supported by one of the study participants below:

Respondent 2:   *the University needs to spell out very clearly KPAs for each employee according to his rank; to be very strict in ensuring that employees provide proof of achievement of each KPA and this needs to be audited to ensure consistency and fairness. Employees need to be incentivized more if they have performed above their expected KPAs. This will have potential of employees eager to perform even much better. Line managers need to be trained about performance management system in order for them to be well informed about KPAs and collection of duties*

Respondent 2 further suggested that PMS should include disciplinary procedures according to the school policy, which would avoid conflicts between line managers and their subordinates. This assertion is presented below:

Respondent 2:   *Line managers need to be trained regarding management of staff and leadership policy on human capital management. For example treating their subordinates with respect, processes that need to be followed in disciplining an employee; treating all subordinates fairly according to the policy of the university as this sometimes negatively affects the performance of employees.*

Discipline specific: it was also observed that the PMS was somewhat generic; a study participant argued that PMS should put into consideration different disciplines, and performance assessment should be done on the basis of employees' discipline.

Respondent 12:   *first of all it should be discipline specific, all disciplines work in different ways, e.g. architecture is not profiled in terms of research output, focusing on professional output in terms of research output not writing for journals. It should not be blanketed, it must be rewarded according to the discipline, and it must be used for promotion. PM should not be benefit*

Address subjectivity: the PMS was judged to be subjective and biased, and a respondent called for its objectivity:

Respondent 5:   *Address its subjectivity*

Pay attention to PDPs: a study participant recommended that special attention be paid to PDP as suggested below:

Respondent 11:   *start early to avoid non-compliances in the cycles, pay attention to PDPs*

Link PM with talent mapping: the PMS was also faulted for not aligning with talent mapping. This view was also supported by a respondent:

Respondent 11:   *Link PM with talent mapping, simplified (too complicated)*

Talent management can be achieved through a structured PMS to attract, retain, develop, and motivate employees and managers in the organisation (Noe et al., 2017).
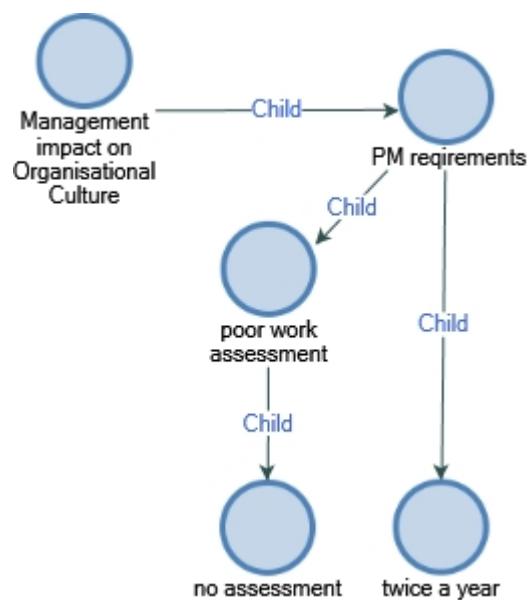

Figure 4.2 Institutional Management impacts on Performance Management

Figure 4.2 depicts the theme that was derived from the responses provided by the study participants. The major themes included performance management requirement, poor work assessment, no assessment, and twice a year. Explanations for themes and sub-themes are given below.

Performance management requirement: the outcome from the analysed qualitative data showed that the management of UKZN carried out performance assessment exercises twice in a year on their staff and both academic and administrative staff was required to take part in the exercise. All the interview respondents affirmed that the performance management exercise was regularly done mid-year with a final assessment. This showed that the PMS was one of the processes that UKZN management used to promote its organisational cultures. Some of the participants were in accord with this assertion.

Respondent 1: *twice a year this includes the mid-term review*

Respondent 8: *annual process with mid-year and final*

Respondent 11: *mid-year review and final assessment*

Poor work assessment: one of the reasons for performance assessment is to identify areas of poor work performance amongst the employees and one of the requirements of a PMS is to make provision to address this issue. The PMS that was put in place by the UKZN management did address the issue of poor work performance, but failed to find a solution. The PMS in UKZN lacked assessment measures to address poor performance. Some of the interviewed participants responded in line with this thought.

Respondent 3: *it is a reward system that rewards hard work but fails to do anything to poor performance*

Respondent 4: *there is no assessment for non-performance – only stagnation in the current position you are in*

Respondent 7: *it allows for monitoring of activities, setting targets and planning. In this way allows for identifying poor work performance. It just identifies poor performance*

No assessment: In the overall assessment, it can be said that the PMS made no assessment because the system continued to encourage poor performance.

Respondent 8: *Staffs that perform well are not necessarily acknowledged and those performing poorly continue to do so*

The extent of management impact on performance management was very low as there was no feedback on performance ratings from the management to the employees.

Respondent 2:   *to a lesser extent*

From the outcome of this study, the research objective which aimed to understand the extent of management impact on organisational culture was achieved.

4.3   PERCEIVED BENEFITS OF PERFORMANCE MANAGEMENT

4.3.1   Impact of institutional management on performance management system

There were eight major themes derived from the information provided by the study participants, which include: management impact on performance management, essence of performance management, check employees quality, research output, monitoring of performance, staff evaluation, review of performance management success, poorly implemented, and lack of feedback.
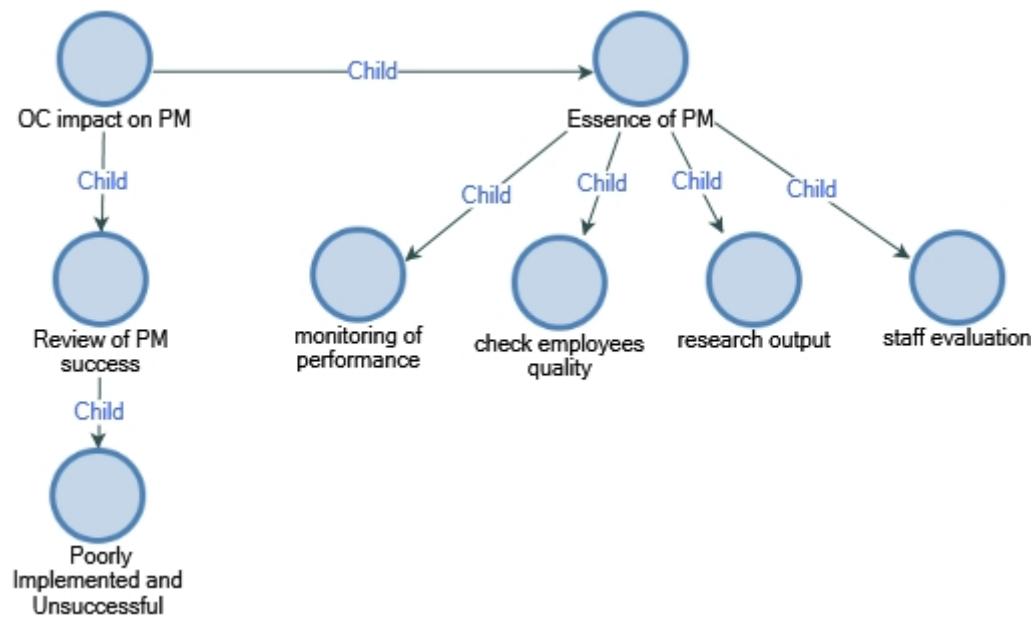

Figure 4.3 Management impact on performance management system

For Management to have effective impact, the PMS had to ensure that the policies and guidelines of the organisation were adhered to by the employees. In other words, the whole

essence of performance management had to be fulfilled. The impact of management on the PMS in UKZN was of little or no effect because the implementation of the system failed to achieve the purpose for which it was created.

Respondent 3:	*it is still complicated many staffs do not understand how the system works*
Respondent 5:	*I am not sure about its impact*
Respondent 6:	*in terms of grooming staffs in their own area of interest, I doubt*
Respondent 12:	*the issue is never thoroughly mentioned well how people must go about it, how it works, and no workshops or programme to teach Academic Leaders to do PM online*

These assertions represent the general opinion of most of the respondents.

Essence of performance management: In UKZN, the essence of the PMS reflected the areas of the organisational culture. The study participants revealed specific areas of management interest while other key areas were neglected by the system. The following are thoughts of the interviewed participants on why performance management is conducted in UKZN.

Respondent 2:	*skills improvement (intellectual) development of the employees. In order for the employees to deliver in accordance with their job description that they were hired for. For the university to deliver excellent research and teaching nationally and globally. And also remain one of the best universities*
Respondent 3:	*to determine what staffs are doing, to capture **research output***
Respondent 4:	*for monitoring performance" for promotion opportunities and for assessing whether you need to **improve performance***
Respondent 7:	*for **staff evaluation***
Respondent 8:*	the system is provided to manage the overall performance of staff
Respondent 9:	*to check employees' quality*

Having identified the perceived essence of the PMS in UKZN, the interviewed respondents also commented on some KPAs that needed quick intervention in the system.

Respondent 1:   *KPA's should be specific to disciplinary expertise/talent rather than generic*

Respondent 2:   *research/publication is the main area that needs to be improved especially in the faculty of humanities*

Respondent 3:   *repercussion for non-performance – valuing team work contribution over and above individual*

Respondent 5:   *it is too subjective at times – that aspect needs to be addressed*

Respondent 6:   *at the moment research and publication are more prioritised in terms of rating, balancing the core function of university is imperative. Thus include administration, teaching and community engagement*

Respondent 8:   *the moderation of the scores cannot be done by HR personnel that have no idea of what the day to day work requires. The system needs to be more specific to each discipline and the personnel from HR should meet with the staff to gain a proper understanding of the requirements and constraints. The suggestion of providing a portfolio of evidence may assist but it is doubtful if HR actually looks at these files. The message to staff is that it is really tough for line managers to defend the performance of their staff*

Review of performance management success: This study also attempted to assess or review the success of the PMS in UKZN.

Respondent 2:   *the university has failed to communicate effectively the importance of KPA's. I believe the Academic Leaders have not been trained with issues around performance*

Respondent 10:   *it either or because the performance seem to focus more on academic about publishing at UKZN over teaching*

Poorly implemented and Unsuccessful: The implementation of the KPAs was poor and the PMS was rated unsuccessful.

Respondent 2:   *there is no honesty in the evaluation of KPAs. Some employees are not rated fairly. Others are favoured*

Respondent 4:   *I don't think it is successful*

The above submissions by the study participants indicated that the organisational culture in UKZN on performance management had little or no impact on performance management.

4.3.2   Benefits of performance management among the academic staff

The themes that emerged from the interviewed study participants were awards, cost centre payments, financial incentives, medical aid and car scheme, promotion, recognition, and research output. This showed that UKZN had different types of performance-driven schemes to enhance employees' performance.

Studies have shown that what motivates workers to increase performance in the workplace differs based on their needs, individual differences or background, perception of unfairness, and aspirations in life. For instance, the Maslow Theory of Motivation and Personalities (1954) asserts that there is a general hierarchy of needs recognition and satisfaction that people desire to attain which influences their level of performance. He postulated five hierarchies of needs which include; Physiological stage, Safety, Love and Belonging, Esteem, and Self-actualisation. Maslow argued that individuals' perception level of success differs, which is a determinant of drive for achievements, and this indirectly influences performance. Herzberg's Two-Factor Theory (1959) states that there are five elements (motivators) that can bring satisfaction to a person's job, which include achievement, recognition, the work itself, responsibilities, and advancement. The theory states that these factors were associated with long-term positive effect in job performance. Herzberg's Two-Factor Theory (1959) posits that a worker becomes motivated when his input (effort) is commensurate with the outcome (reward). A worker becomes dissatisfied when input is more than outcome and this will definitely affect performance. These theories suggest that organisations should identify what type of reward system can drive employees' performance.
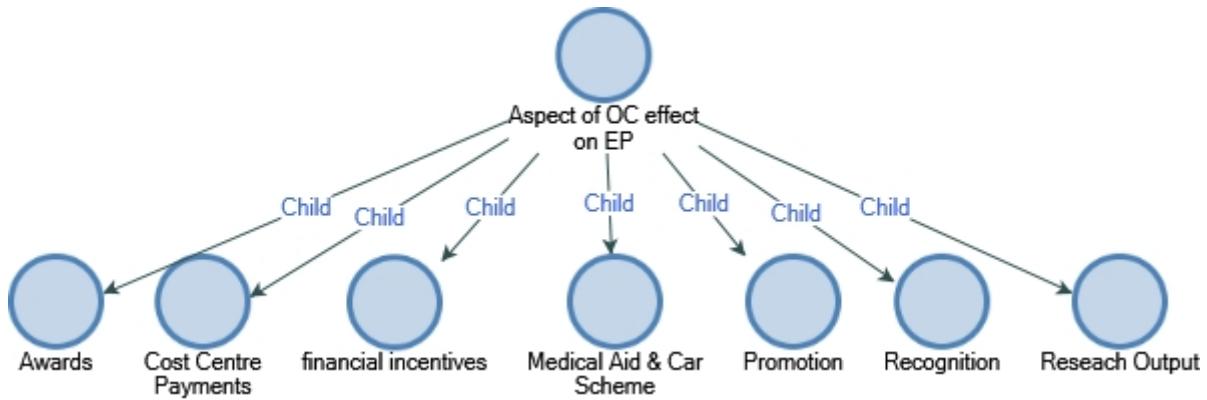
Figure 4.4 The aspect of OC effect on Employees' Performance

Awards: This is usually done to honour good performance or meritorious service in an organisation.

Cost Centre Payments: This system encourages academic employees to strengthen their research outputs which put the institution (UKZN) in a global spot as one of the best in Africa.

Respondent 7:   *Payments into cost centres are also a good motivation*

*Financial incentives***:** Financial incentive is one of the organisational cultures adopted by UKZN to reward and enhance employees' performance.

Respondent 4:   *yes financial*

Respondent 5:   yes financial

Respondent 8:   *there is a system of performance bonus pay-outs*

Respondent 9:   *yes. Financial incentives*

Respondent 10:   *last saw people get monetary incentives*

Medical Aid and Car Scheme: The availability of these schemes shows that UKZN values the health and convenience of their staff.

Respondent 10:   *Performance bonuses, Medial Aid, Car Scheme*

Promotion: This can be earned through hard work and commitment to the organisation. Most organisations usually have policies that determine the criteria for promotion of employees. Promotion is an organisational policy in UKZN to enhance employees' performance.

Respondent 1:   *Promotion – the latest policy is much more encouraging*

Recognition: Recognition can be in terms of verbal appreciation or delegation of authority. This was supported by a participant who also identified other forms of performance rewards.

Respondent 11:   *Yes, bonus, recognition, UKZN teaching, research, community engagement, promotions*

Research Output: Research was one the strength area that was performance driven in UKZN.

Respondent 11:   *Promotions, recognition (teaching, research, etc.)*

Respondent 12:   *UKZN has different benefit e.g. research output*

From the position of the participants as indicated above, it was obvious that UKZN influenced good performance through financial incentives more than other types of performance rewards. This may be due to the fact that employees in UKZN valued financial incentive. It can be said that financial incentive was the most motivating factor that influenced employees' performance. However, it should be noted that in 2017, UKZN came second amongst all the universities in South Africa in the domain of research output which was a function of cost centre payment effect, staff promotion, research grants, performance bonus etc. According to Kohn (1993) incentive is an aspect that psychologists regard as an extrinsic motivator that did not alter the attitude that underlies our behaviour. Rewards do not create a lasting commitment, they merely, and temporarily change our actions. Jenkins (1986) examined 28 published articles that measured the effect of financial incentives on performance. The study revealed that 16 or 57% of the articles found a positive effect on performance. However, only five of the studies examined quality performance of the employees, but none of the five showed any positive effect from incentives. From the foregoing, it is evident that incentives may or may not enhance employees' performance. Benefits in terms of cost centre payments, and financial incentives were the major effect enhancing employees' performance in UKZN. This showed the importance of examining this objective.

4.4   FACTORS AFFECTING THE PERFORMANCE MANAGEMENT

The themes that emerged from the study participants include: effectiveness of training and development in UKZN, methods of training, types of training and development.

Training and development remained an inevitable strategic tool for enhancing employees' performance. In this study, participants reported that the training assisted them to be actively involved in students' supervision and curriculum development. It was reported that effective training should be decentralized, and encourage the self-training systems. Furthermore, the academic staff should be encouraged to participate in extended learning programmes and University training initiatives such University capacity development programme (UCDP) and University induction extended programme (UIEP) workshops as this was essential to their skills development.

 Training and Development was carried out by the management to enhance employees' performance in UKZN.
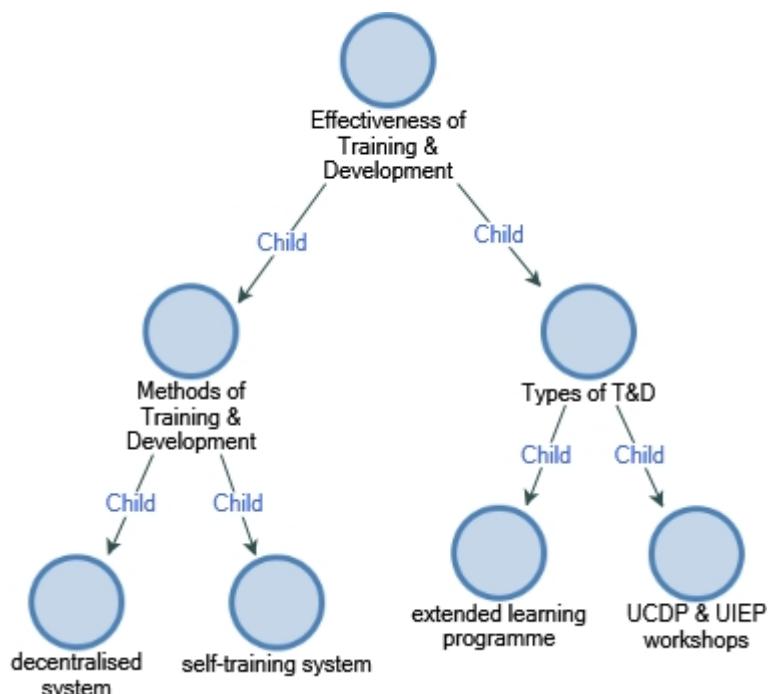

Figure 4.5 The Effectiveness of Training and Development

Some of the interviewed participants acknowledged that training and development was effective and transformative:

Respondent 1:   *it certainly helped me*

Respondent 2:   *yes, because employees become knowledgeable or more knowledgeable about his duties, e.g. teaching and it enhances staff performance. For example when I joined the university I was not knowledgeable about the students' supervision and curriculum development but after attending academic development programme offered by the university I became knowledgeable and I started to perform better in these areas*

Respondent 3:   *yes, it builds confidence and shows an interest is being taken in your development*

However, one participant noted an area of weakness.

Respondent 11:   *No, because the training informed by PM, no linkage from PM and training department*

Some of the study participants also expressed their displeasure about the ineffectiveness of the training and development department in UKZN

Respondent 2:   *No*

Respondent 3:   *No, more capacity building initiatives are required*

Respondent 10:   *Not effective, there are trainings that are not derived from PM, but communicated through e-mails not from the college but from HR*

Methods of training and development*:* The management of UKZN adopted a method of training and developing their member of staff as identified by the study participants:

Respondent 4:   *Not really. It is a mandatory tick boxing exercise for most – is up to the individual if they want to learn and or apply what has been learnt*

Respondent 7:	*it is more of a self-training system. We are given the opportunity and it is left for each employee to take them, this however involves creating time to attend*
Respondent 11:	They do but decentralised by colleges and school not central

Types of training and development: Project development and training workshops through the University Capacity Development Programme UCDP and the University Induction Extended Programme (UIEP) funding projects were noted by the study participants as types of training for staff development.

Respondent 1:	*There are however various useful initiatives and programmes within the university such as the UIEP and UCDP funding projects*
Respondent 8:	*The extended learning programme for lecturers is a good programme. I also attended UCDP workshop last year which was useful*

Training methods in UKZN were identified as being decentralised and/or college-specific, and not mandatory for staff. Members of staff needed to develop an interest in training for them to develop their skills as it was noted that the management usually provided training opportunities for staff development. Although, some of the training provided by the management did not align with performance management requirements, the staff still had a role to play. Thus, the management of UKZN had a culture of providing training programmes to develop its staff, but the impact or effectiveness of the training programmes remained in the interest of the individual staff member.

4.5 SUMMARY OF RESEARCH FINDINGS

This chapter presented the analysis of the data collected via in-depth interviews. NVivo 12 was used to code and organise participants' responses into themes and sub-themes. Three research objectives were formulated to explore the performance management at UKZN's School of Built Environment and Development Studies. The next chapter discusses the summary, conclusion and recommendations of this study.

It was evident from the analysed qualitative data that management had a great influence on employees' performance at UKZN. The management of UKZN employed different elements

of management knowledge to command performance, but some of these elements informed more effective organisational performance than others. The theme involving management impact on organisational culture revealed four sub-themes, which included performance management requirement, poor work assessment, non-assessment, and twice a year. The outcome of the findings showed that the management of UKZN required the employees, both academic and administrative staff, to take part in the performance assessment process twice a year. Performance management was one of the requirements for management in UKZN, but the study revealed that the PMS only identified poor performance but failed to proffer a solution. Employees with poor performance rating continued to do so as there were no preventive measures, or trainings to discourage such. In other words, performance assessment was carried out merely as a routine for it lacked 360-degree feedback for performance effectiveness. Thus, the aim of the exercise was defeated. The study also observed the impact of the organisational culture on the PMS. It was evident that the organisational culture had little or no effect on the system due to its complications. The PMS was designed to capture the monitoring of staff performance, check employees' quality, assess research output, and employees' evaluation. Most of the staff complained that the system was difficult to understand as it failed to specify the peculiarity of each discipline involved. No prior training or workshops were given on how to enable academic leaders to understand the rating procedure in order to ensure fairness in their judgment. Lack of fair evaluation of KPAs was identified, which made the PMS unsuccessful.

The research also observed that UKZN had a system of rewarding performance through promotion, research output, financial incentives, awards, medical aid and car scheme, and cost centre payment. Amongst all these reward schemes, financial incentives influenced employees' performance more than others. The cost centre payment, and promotion also encouraged the academic staff to take an interest in research output which put the name of the institution amongst the top ranked in the continent in the domain of research output. These aspects of the organisational culture were a major boost to give management leverage as a performance-driven mechanism for employees while the management objectives were being achieved. Furthermore, the study revealed the effectiveness of training and development. A division was observed amongst the staff with regard to trainings to improve performance. This was due to the fact that the training system in UKZN was decentralized, or at the interest of the employees which informed a self-training system. Different types of trainings were open to all staff to

make a choice, such as the UCDP workshop, and the UIEP programmes specifically for academic staff. Trainings were not specific to fill an identified gap within the organisation, but at the interest of those employees who showed an interest in developing their skills. Only the interested employees benefited and testified to the effectiveness of the trainings. Other employees believed that training should be discipline-specific. In other words, it should be linked to performance management assessment in order to fill a gap identified by the PM for it to be effective.

The study also noted that a 60% level of compliance to the PMS was observed by the staff of UKZN, but only a 5% level of compliance was observed by the staff of the School of Built and Development Studies, as total compliance was hindered by many factors; such as subjectivity of the PMS, lack of discipline-specific of the PMS, linkage difficulty between performance management and talent mapping, and absence of a link between PMS and KPAs. From the foregoing, it can be said that the PMS in UKZN still needed to be redesigned to address specific areas in terms of job description and level of operations amongst all the disciplines in the organisation. The organisational culture of UKZN can be said to be more effective in rewarding academic staff in terms of research output, and financial incentives but failed to address the issue of poor performance, training needs, compliance towards PMS, and KPAs.

CHAPTER 5

DISCUSSION OF THE FINDINGS, RECOMMENDATIONS AND CONCLUSION

5.1 INTRODUCTION

The aim of this study was to describe the academic staff perception of the PMS at a selected University in KwaZulu-Natal. The study established an alignment between the research questions and research objectives, such that responses given to the formulated research questions helped in answering and achieving the research objectives. NVivo 12 software was utilised in analysing the qualitative data collected. The research study was guided by the following objectives:

1. To describe the knowledge, practices and attitude of academic staff of performance management at a selected University
2. Describe the perceived benefits of performance management among the academic staff at a selected University
3. To explore the factors affecting the performance management at a selected University

The summary of the research findings based on the formulated objectives are presented below.

5.2 KNOWLEDGE, PRACTICES AND ATTITUDE OF ACADEMIC STAFF OF PERFORMANCE MANAGEMENT

The findings from this study indicated that the perception of participants to the PMS and its implementation in the institution varied among the staff. It was noted that the system ensured that the policies and guidelines of the organisation were protected and adhered to by the employees. In other words, the whole essence of performance management was fulfilled.

In this study, it was noted that staff commitment to PMS was a cornerstone to performance management, and the participants reported that within their institution, there was an average of 60% level of compliance.

Commitment towards performance management: The level of commitment towards the PMS was affirmed by some study participants as being unserious and unsure. The overall

commitment level of the academic staff within the discipline towards performance management could said to be very poor due to the poor implementation of the PMS.

Performance management recommendations: A number of factors were identified by the study respondents as lacking in the PMS.

KPA for each employee: It was recommended that KPAs should be designed according to each employee's rank and job description for effective measure of the PMS. This was supported by one of the study participants who responded that the university should be very strict in ensuring that employees provided proof of achievement of each KPA, which should be audited to ensure consistency and fairness. Employees need to be incentivized if they have performed above their expected KPAs. This had the potential of making employees eager to perform even better. Line managers needed to be trained about the PMS in order for them to be well informed about KPAs and collection of duties. Furthermore it was suggested that the PMS should include disciplinary procedure according to the school policy, which would avoid conflicts between line managers and their subordinates.

Discipline specific: It was also observed that the PMS was somewhat generic; a study participant argued that the PMS should give consideration to the different disciplines, and performance assessment should be done on the basis of each employee's discipline.

Address subjectivity: The PMS was judged to be subjective and biased, and a call was made for its objectivity.

Pay attention to PDPs: A study participant recommended that special attention be paid to PDP.

Link PM with talent mapping: The PMS was also faulted for not aligning with talent mapping.

Performance management requirement: The outcome from the analysed qualitative data shows that a performance assessment exercise was carried out twice a year by the management of UKZN on their staff and both academic and administrative staffs were required to take part in the exercise. All the interviewed respondents affirmed that a performance management exercise was done regularly in mid-year with a final assessment. This proved that the PMS was one of the processes by which the management of UKZN promoted its organisational culture.

Poor work assessment: One of the reasons for the performance assessment was to identify areas of poor work performance amongst the employees and one of the requirements of the PMS was to make provision to address this issue. The PMS that was put in place by the management in UKZN did not address the issue of poor work performance. The system only identified it but failed to find a solution. The PMS in UKZN lacked assessment measures to address poor performance.

5.3 PERCEIVED BENEFITS OF PERFORMANCE MANAGEMENT

Impact of institutional management on the performance management system

Eight major themes were derived from the information given by the study participants, which include: Management impact on performance management, essence of performance management, check employees quality, research output, monitoring of performance, staff evaluation, review of performance management success, poorly implemented, and lack of feedbacks.

Impact on performance management system: For Management to have effective impact, the PMS should ensure that the policies and guidelines of the organisation were adhered to by the employees. In other words, the whole essence of performance management must be fulfilled. The impact of management on the PMS in UKZN was of little or no effect because the implementation of the system failed to achieve the essence for which it was created.

Essence of performance management: In UKZN, the essence of the PMS reflected the areas of the organisational culture. The study participants revealed specific areas of management interest while other key areas were neglected by the system.

The study participants reported that performance management was a tool to capture **research output,** to **improve performance of the staff** and for **staff evaluation.** They reported that performance management also contributed towards skills improvement (intellectual) and development of the employees.

Review of performance management success: This study also attempted to assess or review the success of the PMS in UKZN. The study participants gave an overall assessment in terms implementation of the PMS.

Benefits of performance management among the academic staff

The themes that emerged from the interviewed study participants were awards, cost centre payments, financial incentives, medical aid and car scheme, promotion, recognition, and research output. This shows that UKZN had different types of performance-driven schemes to enhance employees' performance.

Cost Centre Payments: The system encouraged academic employees to strengthen their research output which put the institution (UKZN) in a global spot as one of the best in Africa.

*Financial incentives***:** Financial incentives were one of the organisational cultures adopted by UKZN to reward and enhance employees' performance.

Medical Aid and Car Scheme: The availability of these schemes shows that UKZN values the health and convenience of their staff.

Promotion: This can be earned through hard work and commitment to the organisation.

Recognition: Recognition was in terms of verbal appreciation or delegation of authority.

Research Output: Research output was one strength area that was performance driven in UKZN and this was mentioned by the participants. From the position of the participants as indicated above, it was obvious that UKZN influenced good performance through financial incentives more than other types of performance rewards. This may be due to the fact that employees in UKZN valued financial incentives. It can be said that financial incentives was the most motivating factor that influenced employees' performance in UKZN. However, it should be noted that in 2017, UKZN came second amongst all the universities in South Africa in the domain of research output which was a function of cost centre payment effect, staff promotion, research grants, performance bonus etc.

5.4 CONCLUSION

It can be established from the foregoing that the objectives of the study have been sufficiently achieved. The study argued that the management of UKZN had initiated various performance-driven schemes to positively influence employees' performance. However, the impact of management had not been significantly felt by the staff of the School of Built and Development

Studies especially in the area of performance assessment. The study further concluded that the management should proffer a solution to the issue of poor performance, and the performance rating scales should be aligned with the task specification of each discipline. The study also identified the weakness of the self-training system despite the numerous training programmes initiated by the management of UKZN as some of the staff chose not to attend any of the training. Only the staff members who had participated in training such as workshops, or seminars testified to its effectiveness.

5.4 RECOMMENDATIONS

Based on the research findings set out above, the following recommendations were put forward in order for UKZN management to have significant impact on employees' performance through the PMS.

5.4.1 360-degree performance appraisal

According to Espinilla et al., (2013) a 360-degree performance appraisal provides an evaluation about the performance of employees. The human resource department must ensure an effective PMS process with understandable information, interpretable and correct (Espinilla et al., 2013). 360-degree appraisal involves individuals evaluating themselves and getting feedback from their employee members. However, the adoption of 360-degree appraisal by the management of UKZN must clearly define the essence and scope of the appraisals, and should address specific outcome (Antonioni, 1996). This will promote positive workplace behaviour, and openness in terms of information amongst employees. It will also encourage fairness through its objectivity.

5.4.2 Management Control System

The management of UKZN must exercise a control system by strategically designing the PMS to achieve the organisational objectives in terms of level of performance of the organisation, information flow and feedback, customer satisfaction, and growth and development of the organisation (Otley, 1999). The organisation should be able to identify its level of performance in all specific areas of its operations and not be comfortable in the area of research output alone while other key areas suffer.

5.4.3 Performance-specific trainings

Training needs must be identified, and the type of training should be specific to fill the needs. The PMS must be such that identifies and addresses the issue of poor performance through specific training that can improve performance. Training should not be left at the interest of the employees but targeted towards improving the skills of the employees. This will increase the level of compliance amongst the employees.

REFERENCES

Adamolekun, L. 2005. Re-orienting Public Management in Africa: Selected Issues and Some Country Experiences, African Development Bank Economic Research Working Paper No. 81. Tunisia: African Development Bank.

Adhikari, D.R. 2010. Human Resource Development (HRD) for Performance Management: The Case of Nepalese Organisations. *International Journal of Productivity and Performance Management*, 59, 306 – 324.

Allan, P. 1994. Designing and Implementing an Effective Performance Appraisal System. *Review of Business*, 16.

Amaratunga, D. and Baldry, D. 2002. Moving from Performance Measurement to Performance Management. *Facilities*, 20, 217 – 223.

Ammons, D.N. 2002. Performance Measurement and Managerial Thinking. *Public Performance and Management Review*, 25, 344 – 347.

Armstrong, M. 1991. *A Hand Book of Personnel Management Practice*. Fourth Edition. London: Kogan Page Limited.

Armstrong, M. 2006. *Performance Management: Key Strategies and Practical Guidelines*, Third Edition. London and Philadelphia: Kogan Page.

Armstrong, M., and Baron, A. 1998. *Performance Management: The New Realities*. London: Chartered Institute of Personnel and Development.

Ayeni, V. 2001. (Ed.). Public Sector Reform in Developing Countries: A Handbook of Commonwealth Experiences. London: Commonwealth Secretariat.

Bakwena, F.S. 2003. Public Service Reforms Botswana Experience. Paper Presented to *the Commonwealth Advanced Seminar*. Wellington, New Zealand.

Bale, M and Dale, T. 1998. Public Sector Reform in New Zealand and Its Relevance to Developing Countries. *The World Bank Research Observer*, 13, 103 – 121.

Banner, D.K. and Cooke, R.A. 1984. Ethical Dilemmas in Performance Appraisal. *Journal of Business Ethics*, 3, 327 – 333.

Beer, M., and Ruh, R.A. 1976. Employee Growth through Performance Management. *Harvard Business Review*.

Bento, A., and White, L.F. 2006. Budgeting, Performance Evaluation, and Compensation: A Performance Management Model. *Advances in Management Accounting*, 15, 51-79.

Berman, E. 2002. How Useful Is Performance Measurement. *Public Performance and Management Review*, 25, 348 – 351.

Bouckaert, G. and Halligan, J. 2009. Formulating Performance Systems: The Roles of Performance and Trust. Paper for Presentation to *the European Group of Public Administration Conference,* Study Group on Performance in the Public Sector, St. Julian's, Malta.

Bouckaert, G. and Peters, B.G. 2002. Performance Measurement and Management: The Achilles' Heel in Administrative Modernisation. *Public Performance and Management Review*, 25, 359 – 362.

Bourne, M. 2005. Researching Performance Measurement System Implementation: The Dynamics of Success and Failure. *Production Planning and Control*, 16, 101 – 113.

Bourne, M., Kennerley, M. and Franco-Santos, M. 2005. Managing Through Measures: A Study of Impact on Performance. *Journal of Manufacturing Technology Management*, 16, 373 – 395.

Bourne, M., Neely, A., Mills, J. and Platts, K. 2003. Implementing Performance Measurement Systems: A Literature Review. *International Journal of Business Performance Management*, 5, 1 – 24.

Bourne, M., Neely, A., Platts, K. and Mills, J. 2002. The Success and Failure of Performance Measurement Initiatives: Perceptions of Participating Managers*. International Journal of Operations and Production Management*, 22, 1288 – 1310.

Bowman, J.S. 1999. Performance Appraisal: Verisimilitude Trumps Veracity. *Public Personnel Management*, 28, 557 – 576.

Bricker, G.A. 1992. Performance Agreements: The Key to Increasing Motivation. *Sales and Marketing Management*, 144, 69 – 70.

Broad, M. and Goddard, A. 2010. Internal Performance Management with UK Higher Education: an Amorphous System? *Measuring Business Excellence*, 14, 60 – 66.

Brown, A. 2005. Implementing Performance Management in England's Primary Schools. *International Journal of Productivity and Performance Management,* 54, 468- 481.

Brudan, A. 2009. Integrated Performance Management: Linking Strategic, Operational and Individual Performance. Downloaded from http://www.pma.otago.ac.nz/pma-cd/papers/1090.pdf on 7 April 2019.

Brudan, A. 2010. Rediscovering Performance Management: Systems, Learning and Integration. *Measuring Business Excellence*, 14, 109 – 123.

Brynard, P.A. 2010. Policy Implementation and Cognitive Skills: The Difficulty of Understanding Implementation. *Journal of Public Administration*, 45, 190 – 201.

Christensen, R.K. and Gazley, B. 2008. Capacity for Public Administration: Analysis of Meaning and Measurement. *Public Administration and Development*, 28, 265 – 279.

Christensen, T. and Laegreid, P. 2008. NPM and Beyond – Structure, Culture and Demography. *International Review of Administrative Sciences*, 74, 7 – 23.

Creswell, J.W. and Plano Clark, V.L. 2011. *Designing and Conducting Mixed Methods* - Second Edition. Los Angeles: SAGE Publications, Inc.

Dahlström, C. and Lapuente, V. 2009. Explaining Cross-Country Differences in Performance-Related Pay in the Public Sector. *Journal of Public Administration Research and Theory*.

Davenport, J. and Gardiner, P.D. 2007. Performance Management in the Not-for Profit Sector with Reference to the National Trust for Scotland. *Total Quality Management*, 18, 303 – 311.

De Lancer Julnes, P. and Holzer, M. 2001. Promoting the Utilisation of Performance Measures in Public Organisations: An Empirical Study of Factors Affecting Adoption and Implementation. *Public Administration Review*, 61, 693 – 708.

De Waal, A.A. 2003. Behavioural Factors Important for the Successful Implementation and Use of Performance Management Systems. *Management Decision*, 41, 688 – 697.

De Waal, A.A. 2004. Stimulating Performance-Driven Behaviour to Obtain Better Results. *International Journal of Productivity and Performance Management*, 53, 301 – 316.

De Waal, A.A. 2007. Is Performance Management Applicable in Developing Countries? The Case of a Tanzanian College. *International Journal of Emerging Markets*, 2, 69 – 83.

De Waal, A.A. 2010. Performance-Driven Behaviour as the key to improved Organisational Performance. *Measuring Business Excellence*, 14, 79 – 95.

De Waal, A.A. and Counet, H. 2009. Lessons Learned from Performance Management Systems Implementations. *International Journal of Productivity and Performance Management*, 58, 367 – 390.

Dikolli, S.S., Hofmann, C. and Kulp, S.L. 2009. Interrelated Performance Measures, Interactive Effort, and Incentive Weights. *Journal of Management Accounting Research*, 21, 125 – 149.

Dormer, R. and Gill, D. 2010. Managing for Performance in New Zealand's Public Service – A Loosely Coupled Framework? *Measuring Business Excellence*, 14, 43 – 59.

Dull, M. 2008. Results-Model Reform Leadership: Questions of Credible Commitment. *Journal of Public Administration Research and Theory*, 19, 255 - 284.

Dunn, W.N. and Miller, D.Y. 2007. A Critique of the New Public Management and the Neo-Weberian State: Advancing a Critical Theory of Administrative Reform. *Public Organization Review*, 7, 345 – 358.

Dzimbiri, L.B. 2008. Experiences in New Public Management in Africa: The Case of Performance Management Systems in Botswana. *Africa Development*, 27, 43-58.

Epstein, M.J., and Roy, M. 2005. Evaluating and Monitoring CEO Performance: Evidence from US Compensation Committee Reports. *Corporate Governance*, 5, 75-87.

Etzioni, A. 1989. A Matter of Goals: High Growth – or Deficit Reduction? *Journal of Accounting, Auditing and Finance*, 4, 555 – 570.

Fletcher, C. and Williams, R. 1996. Performance Management, Job Satisfaction and Organisational Commitment. *British Journal of Management,* 7, 169 – 179.

Ford, D.K. 2004. Development of a Performance Appraisal Training Program for the Rehabilitation Institute of Chicago. *Journal of European Industrial Training*, 28, 550-563.

Franco-Santos, M. and Bourne, M. 2005. An Examination of the Literature Relating to Issues Affecting How Companies Manage Through Measures. *Production Planning and Control*, 16, 114 – 124.

Fryer, K., Antony, J., and Ogden, S. 2009. Performance Management in the Public Sector. *International Journal of Public Sector Management*, 22, 478- 498.

Furnham, A. 2004. Performance Management Systems. *European Business Journal*, 16, 83 – 94.

Glendinning, P.M. 2002. Performance Management: Pariah or Messiah. *Public Personnel Management*, 31, 161 - 178.

Grizzle, G.A. 2002. Performance Measurement and Dysfunction: The Dark Side of Quantifying Work. *Public Performance and Management Review*, 25, 363 – 369.

Guinn, K.A. and Corona, R.J. 1991. Putting a Price on Performance. *Personnel Journal*, 70, 72 – 77.

Hacker, M., and Washington, M. 2004. How do we measure the implementation of large-scale change? *Measuring Business Excellence*, 8, 52-59.

Halachmi, A. 2005. Performance Measurement is Only One Way of Managing Performance. *International Journal of Productivity and Performance Management*, 54, 502-516.

Halligan, J. 2007. Reintegrating Government in Third Generation Reforms of Australia and New Zealand. *Public Policy and Administration*, 22, 217 – 238.

Hamel, G. 2009. Moon Shots for Management. *Harvard Business Review*, 91 - 98.

Henderson, J., and Hacker, S.K. 2002. Transforming Knowledge into Results: The Public Service Challenge of the 21st Century. American Society of Quality's Government Division Newsletter.

Hill, H.C. 2003. Understanding Implementation: Street-Level Bureaucrats' Resources for Reform. *Journal of Public Administration Research and Theory*, 13, 265 – 282.

Hope, J., and Player, S. 2012. *Why, When, and How to Use 40 Tools and Best Practices for Superior Business Performance - Beyond Performance Management*. Boston, Massachusetts: Harvard Business Review Press.

Hope, K.R, Sr. 1995a. Managing Development Policy in Botswana: Implementing Reforms for Rapid Change. *Public Administration and Development*, 15, 41- 52.

Hope, K.R, Sr. 1995b. Managing the Public Sector in Botswana: Some Emerging Constraints and the Administrative Reform Responses. *The International Journal of Public Sector Management*, 8, 51-62.

Hope, K.R, Sr. 1997. *African Political Economy: Contemporary Issues in Development.* New York: M.E. Sharpe, Inc.

Hope, K.R, Sr. 2001. The New Public Management: Context and Practice in Africa. *International Public Management Journal*, 4, 119 – 134.

Hope, K.R, Sr. 2002. Employee Perceptions of Leadership and Performance Management in the Botswana Public Service. *Public Personnel Management*, 31, 531-542.

Hope, K.R, Sr. 2003. Employee Perceptions of Leadership and Performance Management in the Botswana Public Service. *Public Personnel Management*, 32, 301-313.

Hope, K.R, Sr., and Somolekae, G. (Eds.), *Public Administration and Policy Analysis in Botswana*. Kenwyn: Juta & Co, Ltd.

Hope, K.R, Sr., and Somolekae, G. (Eds.), *Public Administration and Policy Analysis in Botswana*. Kenwyn: Juta & Co. Ltd.

Tsie, B. 2001. *International Political Economy and Southern Africa*.

Hope, K.R. Sr., and Chikulo, B. C. 2000. Decentralization, The New Public Management, and the Changing Role of the Public Sector in Africa. Public Management: *An International Journal of Research and Theory*, 2, 25-42.

In Maree, J.G. (Kobus) (Ed.), *Complete your Thesis or Dissertation Successfully: Practical Guidelines*. Cape Town: Juta and Company Limited.

Ingraham, P. 1993. Of Pigs in Pokes and Policy Diffusion: Another Look at Payfor-Performance. *Public Administration Review*, 53, 348 – 356.

Ittner, C.D. and Larcker, D.F. 1998. Innovations in Performance Measurement: Trends and Research Implications. *Journal of Management Accounting Research*, 10, 205 – 238.

Kaplan, R.S. 1998. Innovation Action Research: Creating New Management Theory and Practice. *Journal of Management Accounting Research*, 10, 89 – 118.

Kaplan, R.S. 2001. Strategic Performance Measurement and Management in Nonprofit Organisations. *Non-profit Management and Leadership*, 11, 353 – 370.

Kaplan, R.S. and Norton, D.P. 1992. The Balanced Scorecard – Measures that Drive Performance. *Harvard Business Review*, 70, 71 - 79.

Kelloway, E.K. 2004. HTML: The Core Principles of Managing People. *The Workplace Review*, 3, 4 – 12.

Kennerley, M. and Neely, A. 2002. A Framework of the Factors Affecting the Evolution of Performance Measurement Systems. *International Journal of Operations and Production Management,* 22, 1222 – 1245.

Kiragu, K. 2002. Improving Service Delivery through Public Service Reform: Lessons of Experience from Select Sub-Saharan Africa Countries. A Paper for Presentation and

Discussion at the *Second Meeting of the DAC Network on Good Governance and Capacity Development* Held at the OECD Headquarters.

Kiragu, K., and Mutahaba, G. 2006. Public Service Reform in Eastern and Southern Africa – Issues and Challenges: A Report of the Proceedings of the *Third Regional Consultative Workshop on Public Service Reform in Eastern and Southern Africa*.

Laking, R. and Norman, R. 2006. Inside Public Sector Reform: Case Studies from the Commonwealth Advanced Seminar. Paper for the CAPAM 2006 Biennial Conference: *Rising to the Challenge: Enhancing Public Sector Capability*, Sydney, Australia.

Laking, R., and Norman, R. 2007. Imitation and Inspiration in public sector reform: lessons from commonwealth experiences. *International Review of Administrative Sciences*, 73, 517-530.

Letsebe, T. 2009. President Khama Adds Delivery to Four Ds [Democracy, Development, Dignity and Discipline]. Botswana Daily News. Gaborone: Botswana Press Agency.

Levinson, H. 1970. Management by whose objectives? *Harvard Business Review*: 48, 125 – 134.

Levinson, H. 1976. Appraisal of What Performance? *Harvard Business Review:* 54, 30 – 160.

London: Commonwealth Secretariat. Creelman, J. Undated. Creating an Adaptive Enterprise – An Interview with Jeremy Hope. Online. Retrieved from http://www.empreview.com/index2.php?option=com_content&task=view&id=74 &pop=1. Accessed 8 March 2019.

Longenecker, C.O. 1989. Truth or Consequences: Politics and Performance Appraisals. *Business Horizons*, 32, 76 – 82.

Longenecker, C.O. 1997. Why Managerial Performance Appraisals are Ineffective: Causes and Lessons. *Career Development International*, 2, 212 – 218.

Longenecker, C.O. and Ludwig, D. 1990. Ethical Dilemmas in Performance Appraisal Revisited. *Journal of Business Ethics*, 9, 961 – 969.

Longenecker, C.O., Liverpool, P.R. and Wilson, K.Y. 1988. An Assessment of Manager/Subordinate Perceptions of Performance Appraisal Effectiveness. *Journal of Business and Psychology*, 2, 311 – 320.

Maley, J.F. 2009. The Influence of Performance Appraisal on the Psychological Contract of the Inpatriate Manager. *South Africa Journal of Human Resource Management*, 7, 1-10.

Mani, B.G. 2002. Performance Appraisal Systems, Productivity, and Motivation: A Case Study. *Public Personnel Management*, 31, 141 – 159.

Marobela, M. 2008. New Public Management and the Corporatisation of the Public Sector in Peripheral Capitalist Countries. *International Journal of Social Economics*, 35, 423 – 434.

Massey, A. 1999. Editorial: Quality Issues in the Public Sector. *Public Policy and Administration*, 14, 1 – 14.

Mayne, J. 2007. Challenges and Lessons in Implementing Results-Based Management. *Evaluation*, 13, 87 – 109.

McCune, J.T. 1989. Customer Satisfaction as a Strategic Weapon: The Implications for Performance Management. *Human Resource Planning*, 12, 195 – 204.

McGregor, D. 1957. An Uneasy Look at Performance Appraisal. *Harvard Business Review*: 35, 89 – 94.

Meyer, H.H., Kay, E. and French, J.R.P. 1965. Split Roles in Performance Appraisal. *Harvard Business Review,* 43, 123 – 129.

Micheli, P. and Kennerley, M. 2005. Performance Measurement Frameworks in Public and Non-Profit Sectors. *Production Planning and Control*, 16, 125 – 134.

Mogae, F.G. 2007. Address by His Excellency Mr. Festus G. Mogae, President of the Republic of Botswana to *the 7th Global Forum on Reinventing Government on the Theme*: *Building Trust in Government* held in Vienna, Austria.

Moleboge, N.S. 2003. Public Sector Reforms Challenges and Opportunities: The Case of Botswana Police Service. Paper Presented by Norman S. Moleboge, Commissioner of Botswana Police at *the Commonwealth Advanced Seminar*: Wellington, New Zealand.

Monnaesi, T.T. 2011. *A Description of Whether the Objectives of the Performance Management System of the Botswana Department of Tribal Administration are Being Realised.* Unpublished Masters Thesis. Stellenbosch University.

Morgan, B. and Sklar, R.H. 2012. *Sampling and Research Paradigms*.

Mothusi, B. 2007. Enhancing Leadership and Policy Implementation Skills in the SADC Public Sector: *A Seminar Organised by the Commonwealth Association for Public Administration and Management (CAPAM) and Centre for Specialisation in Public Administration and Management (CESPAM).* A Report of the Regional Executive Training Programme for Senior Public Servants of SADC, Gaborone, Botswana.

Mothusi, B. 2008. *Public Sector Reforms and Managing Change in Botswana: The Case of Performance Management System (PMS).* Unpublished Doctoral Thesis. Cleveland State University.

Moynihan, D.P. 2005. Why and How Do State Governments Adopt and Implement "Managing for Results" Reforms? *Journal of Public Administration Research and Theory*, 15, 219 – 243.

Moynihan, D.P. and Pandey, S.K. 2010. The Big Question for Performance Management: Why Do Managers Use Performance Information? *Journal of Public Administration Research and Theory*, 20, 849 – 866.

Mutahaba, G. and Ally, B. 2008. Building a Developmental Public Service in Africa: An Assessment of Five Decades of Effort. *30th African Association for Public Administration and Management (AAPAM) Annual Roundtable Conference* held in Accra, Ghana from 6th – 10th October.

Mutahaba, G., and Kiragu, K. 2002. Lessons of International and African Perspectives on Public Service Reform: Examples from Five African Countries. *Africa Development*, 27, 48 - 75.

Mwagiru, M. 2006. Issues, Problems, and Prospects in Managing the Diplomatic Services in Small States. *World Affairs*, 30, 193- 206.

Nankervis, A.R. and Compton, R. 2006. Performance Management: Theory in Practice? *Asia Pacific Journal of Human Resources*, 44, 83 – 101.

Nielsen, S.B., and Ejler, N. 2008. Improving Performance: Exploring the Complementarities between Evaluation and Performance Management. *Evaluation*, 14, 171-192.

Niven, P.R. 2003. *Balanced Scorecard Step-By-Step for Government and Non-profit Agencies*. Hoboken New Jersey: John Wiley and Sons, Inc.

Niven, P.R. 2005. Driving Focus and Alignment With the Balanced Scorecard: Why Organisations Need a Balanced Scorecard. *The Journal for Quality and Participation,* 1, 21 – 25.

Nkhwa, T. 2003. Performance Management in the Botswana Public Service. Paper Presented at *the Ad-Hoc Expert Group Meeting (AEGM) on "Reforms of Public Sector Management*: *Lessons Learned"* Held at the United Nations Conference Centre (UNCC) at Addis Ababa, Ethiopia.

Nkhwa, T. 2008. Creating a World Class Public Service for Botswana. Paper Presented at the Workshop for *Enhancing the Performance of the African Public Service Commissions and other Appointing Commissions/Authorities*, held in Kampala, Uganda.

Noe, R. A., Hollenbeck, J. R., Gerhart, B., & Wright, P. M. 2017. *Human resource management: Gaining a competitive advantage*. New York, NY: McGraw-Hill Education.

Norris, N., and Kushner, S. 2007. The New Public Management and Evaluation. *Advances in Program Evaluation*, 10, 1-16.

Nyamunga, M.A.O. 2006. Best Practices in Public Service Delivery and their Replicability: A Case Study from Botswana. Paper Delivered at the *African Association for Public Administration and Management (AAPAM) Annual Roundtable Conference*, Arusha, Tanzania.

O'Donnell, M. 1998. Creating a Performance Culture? Performance-Based Pay in the Australian Public Service. *Australian Journal of Public Administration*, 57, 28 – 40.

O'Donnell, M. and O'Brien, J. 2000. Performance-Based Pay in the Australian Public Service: Employee Perspectives. *Review of Public Personnel Administration*, 20, 20 – 34.

O'Donnell, M. and Turner, M. 2005. Exporting New Public Management: Performance Agreements in a Pacific Microstate. *International Journal of Public Sector Management*, 18, 615 – 628.

Ohemeng, F.L.K. 2009a. Constraints in the Implementation of Performance Management Systems in Developing Countries: The Ghanaian Case. *International Journal of Cross Cultural Management*, 9, 109-132.

Ohemeng, F.L.K. 2010a. The Dangers of Internationalization and 'One-Size-Fits All' in Public Sector Management: Lessons from Performance Management Policies in Ontario and Ghana. *International Journal of Public Sector Management*, 23, 456 - 478.

Ohemeng, F.L.K. 2010b. The new Charter System in Ghana: The 'Holy Grail' of Public Service Delivery? *International Review of Administrative Sciences*, 76, 115- 136.

Pavlov, A. and Bourne, M. 2011. Explaining the Effects of Performance Measurement on Performance: An Organisational Routines Perspective. *International Journal of Operations and Production Management,* 31, 101 – 122.

Polidano, C. 2001. Why Civil Service Reforms Fail. *Public Management Review*, 3, 345 – 361.

Polidano, C and Hulme, D. 2001. Editorial: Towards a Post-New Public Management Agenda. *Public Management Review*, 3, 297 – 303.

Pollitt, C. 1986. Beyond the Managerial Model: The Case for Broadening Performance Assessment in Government and the Public Services. *Financial Accountability and Management*, 2, 155 – 170.

Pollitt, C. 2001. Integrating Financial Management and Performance Management. *OECD Journal on Budgeting*, 1, 7 – 37.

Pollitt, C. 2002. Public Management Reform: Reliable Knowledge and International Experience. Paper supporting presentation to *OECD Global Forum on Governance,* London School of Economics, 4, 2-3.

Pollitt, C. 2005. Performance Management in Practice: A Comparative Study of Executive Agencies. *Journal of Public Administration Research and Theory*, 16, 25 – 44.

Pollitt, C. 2008. *Time, Policy, Management: Governing with the Past*. Oxford: Oxford University Press.

Prowse, P. and Prowse, J. 2009. The Dilemma of Performance Appraisal. *Measuring Business Excellence*, 13, 69 – 77.

Rana, K.S. 2005. *The 21st Century Ambassador: Plenipotentiary to Chief Executive*. New Delhi: Oxford University Press.

Rana, K.S. 2011. 21st Diplomacy: *A Practitioner's Guide*. London and New York: The Continuum International Publishing Group.

Randma-Liiv, T. and Järvalt, J. 2011. Public Personnel Policies and Problems in the New Democracies of Central and Eastern Europe. *Journal of Comparative Policy Analysis: Research and Practice*, 13, 35 – 49.

Rees, W.D. and Porter, C. 2004. Appraisal Pitfalls and the Training Implications – Part 2. *Industrial and Commercial Training*, 36, 29 -34.

Sahl, R.J. 1990. Design Effective Performance Appraisals. *Personnel Journal*, 69, 53 – 60.

Samaratunge, R., Alam, Q. and Teicher, J. 2008. The New Public Management Reforms in Asia: A Comparison of South and Southeast Asian Countries. *International Review of Administrative Sciences*, 74, 25 – 46.

Sashkin, M. 1981. Appraising Appraisal: Ten Lessons from Research for Practice. *Organisational Dynamics*, 9, 37 – 50.

Schacter, M. 2000. Monitoring and Evaluation Capacity Development in SubSaharan Africa: Lessons from Experience in Supporting Sound Governance. Washington, D.C.: World Bank Operations Evaluation Department.

Schacter, M. 2005. *Performance Measurement Meets the Real World: Leadership, Accountability, Politics and Scandal*. Ottawa: Mark Schacter Consulting.

Schacter, M. 2006. *Trashing Results-Based Management or Throwing Out the Baby with the Bath Water*. Ottawa: Mark Schacter Consulting.

Schick, A. 1998. Why Most Developing Countries should Not Try New Zealand's Reforms. *The World Bank Research Observer*, 13, 123 – 131.

Schneier, C.R. 1989. Implementing Performance Management and Recognition and Rewards (PMRR) Systems at the Strategic Level: A Line Management-Driven Effort. *Human Resource Planning*, 12, 205 – 220.

Scott, C. 1961. Research on Mail Surveys. *Journal of the Royal Statistical Society Series A (General)*, 124, 143 – 205.

Sherwin, D.S. 1957. The Job of Job Evaluation. *Harvard Business Review*: 35, 63 – 71.

Sherwin, D.S. 1976. Management of Objectives. *Harvard Business Review*: 54, 149 – 160.

Skelemani, P.T.C. 2007, 26-29 June. Botswana Public Service Reforms. Paper Presented at the *7th Global Forum on Reinventing Government*, Austria, Vienna.

Somolekae, G. 1998. *A Brief History of the Botswana Public Service*. Kenwyn; Juta & Co, Ltd.

Somolekae, G. 1998. Localisation and Training for Change: Experiences and Challenges.

Stainer, A. and Stainer, L. 1998. Strategic Change in Public Services: A Productivity and Performance Perspective. *Strategic Change*, 7, 111 – 119.

Talbot, C. 1999. Public Performance – Towards a New Model? *Public Policy and Administration,* 14, 15 – 34.

Tangen, S. 2005. Demystifying Productivity and Performance. *International Journal of Productivity and Performance Management*, 54, 34 – 46.

Taylor, I. 2003, May. As Good as It Gets? Botswana's 'Democratic Development'. *Journal of Contemporary African Studies*, 21, 215 – 231. 537

Taylor, P.J. and Pierce, J.L. 1999. Effects of Introducing a Performance Management System on Employees' Subsequent Attitudes and Effort. *Public Personnel Management*, 28, 423 – 452.

Thorpe, R. and Beasley, T. 2004. The Characteristics of Performance Management Research: Implications and Challenges. *International Journal of Productivity and Performance Management*, 53, 334 – 344.

Verheijen, T., and Dobrolyubova, Y. 2007. Performance Management in the Baltic States and Russia: Success against the Odds? *International Review of Administrative Sciences*, 73, 205-215.

Verweire, K. and Van den Berghe, L. 2003. Integrated Performance Management: Adding a New Dimension. *Management Decision,* 41, 782 – 790.

Washington, M., and Hacker, S. 2005. Why Change Fails: Knowledge Counts. *Leadership and Organization Development Journal*, 26, 400 – 411.

Washington, M., and Hacker, S. 2009, May. Leaps in Performance: Botswana's Transformation Story. *International Journal of Business Research*, 1-11.

Wescott, C. 1999. Guiding Principles on Civil Service Reform in Africa: An Empirical Review. *The International Journal of Public Sector Management,* 12, 145 – 170.

Wiese, D.S., and Buckley, M.R. 1998. The Evolution of the Performance Appraisal Process. *Journal of Management History*, 4, 233 – 249.

Williams, D.W. 2003. Measuring Government in the Early Twentieth Century. *Public Administration Review*, 63, 643-659.

Wilson, J.P. and Western, S. 2000. Performance Appraisal: An Obstacle to Training and Development? *Journal of European Industrial Training*, 24, 384 – 390.

Winstanley, D. and Stuart-Smith, K. 1996. Policing Performance: The Ethics of Performance Management. *Personnel Review*, 25, 66 – 84.

Annexures

Annexure 1: Information leaflet

Date: 07/02 /2019

Dear Respondents,

My name is Bright Sipho Mkhize, a Master's Degree Student , at the Management , I.T Governance School of the University of KwaZulu-Natal, with the following contact details : Cellphone number 078 874 6382 and email address : 215080936@stu.ukzn.ac.za

You are being invited to consider participating in a research study about A Study of Performance Management at UKZN's School of Built Environment and Development Studies.

 The aim and purpose of this research is to describe the academic staff perception of the PMS at a selected University in KwaZulu-Natal. The study is not funded by any organization and there will be no direct benefits to the participants. However, the study will enlighten the researcher with Performance Management at UKZN's School of Built Environment and Development Studies. The final report will be shared with participating organisation for consideration. The study requires the participants to answer all questions honestly and fairly. The participants are also expected to indicate if they want the questions to be asked in a language that they are familiar with, ask for repeat or clarity as well as request not to answer the specific question when the participants are not comfortable to answer.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee (approval number HSS/0094/019M).

In the event of any problems or concerns/questions you may contact the researcher at 031 260 7205 or Dr Ramluckan (Supervisor) on 031 260 8854 0r the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban

4000

KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557- Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za

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/focus group. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, I.T and Governance at UKZN.

I hope you will take the time to complete this survey.

Sincerely

Investigator's signature_____ Date_____

Annexure 2: Consent form

I .... have been informed about the study entitled:

………

………

I understand the purpose and procedures of the study.

I have been given an opportunity to answer questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

I have been informed about any available compensation or medical treatment if injury occurs to me as a result of study-related procedures.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at 0834634342.

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban

4000

KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557 - Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za

Annexure 3: Research instrument: Interview guide

INSTRUCTIONS: Please answer the following question by making a tick on the appropriate and box or writing answers on the spaces provided.

SECTION A: Demographical Information

Gender: Male ☐   Female ☐

Age group:

18-25 ☐
26-35 ☐
36- 45 ☐
46-55 ☐
56-60 ☐

Marital Status: Single ☐   Married ☐   Divorced ☐   Widowed ☐

Qualifications:

High School   ☐
Tertiary Qualification   ☐
Bachelor's Degree   ☐
Post Graduate Degree   ☐
Honours   ☐
Masters   ☐
PhD   ☐

Current Position _____

Salary Range

<10 000 per month		10 000.00 - 20 000.00/month		20 000.00 - 30 000.00/month		>30 000/month	

Length of Service

<5yrs		10-20yrs		20%-30yrs		>30yrs	

Occupation _____

SECTION B: Interview Questions

1. How often are staff required to do performance management at UKZN?

_____

_____

_____

2. What type of employees are often required to do performance management at UKZN?

_____

_____

_____

3. In your opinion, why are performance management reviews conducted at UKZN?

_____

_____

_____

4. To what extent do the performance management systems address the issue of poor work performance at UKZN?

_____

_____

_____

_____

5. In your opinion, has the performance management system at UKZN been successfully implemented? Why or why not?

_____

_____

_____

6. In your opinion which areas of the performance management system can be enhanced in order to achieve the good results?

_____
_____
_____
_____

7. Does UKZN provide incentives to employees who perform above the expectations on their job? If yes, what type of incentives are provided?

_____
_____
_____

8. In your opinion, does UKZN have an effective training and development department?

_____
_____
_____
_____

9. In your opinion, does training have a positive effect on staff performance at UKZN? How so?

_____
_____
_____
_____

10. What benefits are available to motivate staff at UKZN?

_____
_____
_____
_____

12. In your opinion, how serious/committed are staff at UKZN regarding the performance management system?

_____
_____
_____
_____
_____

13. In your opinion, what percentage of UKZN staff comply with the performance management reviews?

_____

14. Does UKZN recognize and reward good performance? If yes how?

_____
_____
_____
_____

15. What recommendations can you make to UKZN about performance management?

_____
_____
_____
_____
_____

Annexure 4: Gatekeepers permission to conduct the study

UNIVERSITY OF ™
KWAZULU-NATAL
INYUVESI
YAKWAZULU-NATALI

28 January 2019

Mr Bright Sipho Mkhize (SN 215080936)
School of Management, IT and Governance
College of Law and Management Studies
Westville Campus
UKZN
Email: 215080936@stu.ukzn.ac.za

Dear Mr Mkhize

RE: PERMISSION TO CONDUCT RESEARCH

Gatekeeper's permission is hereby granted for you to conduct research at the University of KwaZulu-Natal (UKZN) towards your postgraduate studies, provided Ethical clearance has been obtained. We note the title of your research project is:

"A Study of Performance Management at UKZN's School of Built Environment and Development Studies."

It is noted that you will be constituting your sample by conducting interviews with academic staff members in the School of Built Environment and Development Studies on the Howard College Campus.

Please ensure that the following appears on your notice/questionnaire:
- Ethical clearance number;
- Research title and details of the research, the researcher and the supervisor;
- Consent form is attached to the notice/questionnaire and to be signed by user before he/she fills in questionnaire;
- gatekeepers approval by the Registrar.

You are not authorized to contact staff and students using 'Microsoft Outlook' address book. Identity numbers and email addresses of individuals are not a matter of public record and are protected according to Section 14 of the South African Constitution, as well as the Protection of Public Information Act. For the release of such information over to yourself for research purposes, the University of KwaZulu-Natal will need express consent from the relevant data subjects. Data collected must be treated with due confidentiality and anonymity.

Yours sincerely

MR SS MOKOENA
REGISTRAR

Office of the Registrar
Postal Address: Private Bag X54001, Durban, South Africa
Telephone: +27 (0) 31 260 8005/2206 Facsimile: +27 (0) 31 260 7824/2204 Email: registrar@ukzn.ac.za
Website: www.ukzn.ac.za

1910 - 2010
100 YEARS OF ACADEMIC EXCELLENCE
Founding Campuses ▪ Edgewood ▪ Howard College ▪ Medical School ▪ Pietermaritzburg ▪ Westville

Annexure 5: Approval from the school of management, IT, and governance

UNIVERSITY OF KWAZULU-NATAL ™
INYUVESI YAKWAZULU-NATALI

TO: Mr Bright Sipho Mkhize Student Number: 215080936
FROM: SCHOOL OF MANAGEMENT, IT & GOVERNANCE
DATE: 5 November 2018
SUBJECT: Approval of Coursework Masters Research Proposal

Title: A Study of Performance Management at UKZN's School of Built Environment and Development Studies

Supervisor: Dr Trishana Ramluckan

This memo is to confirm that the Research Proposal Review Committee has accepted your Coursework Masters Research proposal, which was submitted on 15 November 2018.

Please take note of the following suggestion(s)/comment(s):

- The topic should be the same throughout. On the cover page it is a simple one and at the beginning of Chapter 1 it is more elaborate, however, possibly too long and two separate focus areas. The student is advised to keep the topic simple and consistent throughout.
- Although pertinent questions are raised the student should align the research questions and objectives.
- Overlap of Research Question's 3 and 4.
- REACHT. Dictionary to be SA or UK.
- Sample size is extremely limited.

Please note that the above comments/suggestions is intended to develop and strengthen your study, thus you need to consider them seriously. Your supervisor(s) will provide further guidance on how to factor the suggestions into your study.

Good luck with your studies, and we look forward to your successful completion. Please note that you must submit this letter with your application for Ethical Clearance.

Yours sincerely,

Ms Hazvinei Muteswa
M.COM Coursework Administrator

School of Management, IT & Governance- Research & Higher Degrees
Postal Address: Room M1-119, 1st Floor, M Block, Westville Campus, Westville, 3630
Telephone: +27 (0) 31 260 7013 Muteswahm@ukzn.ac.za Website:www.ukzn.ac.za

1910 - 2010
100 YEARS OF ACADEMIC EXCELLENCE
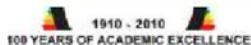
Annexure 6: Ethical clearance from HSSREC/UKZN

UNIVERSITY OF KWAZULU-NATAL ™

INYUVESI YAKWAZULU-NATALI

11 February 2019

Mr Bright Sipho Mkhize (215080936)
School of Management, IT & Governance
Westville Campus

Dear Mr Mkhize,

Protocol reference number: HSS/0094/019M
Project title: A study of Performance Management at UKZN's School of Built Environment and Development Studies

Approval Notification – Expedited Approval

In response to your application dated 31 January 2019, 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
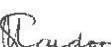
....
Dr Shamila Naidoo (Deputy Chair)

/ms

Cc Supervisor: Dr Trishana Ramluckan
cc Academic Leader Research: Professor Isabel Martins
cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee
Dr Rosemary Sibanda (Chair)
Westville Campus, Govan Mbeki Building
Postal Address: Private Bag X54001, Durban 4000
Telephone: +27 (0) 31 260 3587/8350/4557 Facsimile: +27 (0) 31 260 4609 Email: ximbap@ukzn.ac.za / snymanm@ukzn.ac.za / mohunp@ukzn.ac.za
Website: www.ukzn.ac.za

1910 - 2010
100 YEARS OF ACADEMIC EXCELLENCE
Founding Campuses: ■ Edgewood ■ Howard College ■ Medical School ■ Pietermaritzburg ■ Westville