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KWAZULU-NATAL**

**INYUVESI
YAKWAZULU-NATALI**

**ANALYSIS OF THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT AND
DEVELOPMENT SYSTEM: A CASE STUDY OF DEPARTMENT OF ARTS AND
CULTURE IN KWAZULU-NATAL**

By

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DECLARATION

I, Sikhumbuzo Michael Ndlovu, student number 972190297 declare that:

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LISTS OF ACRONYMS AND ABBREVIATIONS

APP	Annual Performance Plan
CRR	Core Competency Requirements
DA	Developmental Appraisal
DAC	Department of Arts and Culture
DAC-KZN	Department of Arts and Culture in KwaZulu-Natal
EFL	English First language
ELRC	Education Labour Relations Council
EPMDS	Employee Performance Management and Development System
GAF	Generic Assessment Factors
IDP	Integrated Development Plan
INSET	In-service Training
IQMS	Integrated Quality Management System
IRC	Intermediate Review Committee
JD	Job Description
KPAs	Key Performance Areas
KRI	Key Result Indicators
KZN	KwaZulu-Natal
MFMA	Municipal Finance Management Act
MSA	Municipal Systems Act
PA	Performance Agreement

PAP	Performance Appraisal
PDP	Personal Development Plan
PM	Performance Measurement
RBM	Results Based Management
SACE	South African Council of Educators
SDBIP	Service Delivery and Budget Implementation Plan
SMAART	Specific Measurable Achievable Attainable Realistic Timely
SMS	Senior Management Services
T&D	Training and Development
WSE	Whole School Evaluation

ABSTRACT

Studies have shown that employees must be involved in the whole cycle of Performance Management. This view draws upon Locke's conceptualization of goal-setting theory in which employees and supervisors in a workplace should set objectives that need to be achieved during the performance cycle. Unfortunately, studies have shown that employees are not involved in the performance planning and setting of their performance targets. This study has sought to explore the implementation of Performance Management in the Department of Arts and Culture in KwaZulu-Natal (DAC-KZN). Drawing on the pragmatism philosophy, the study has employed a mixed-method approach which involved in-depth interviews (six), documentary analysis and survey methods (83 questionnaires) to elicit the views of workers on the implementation of Performance Management in the DAC-KZN. Through documentary analysis, this study has established that there are proper and systematic procedures for Performance Management. However, data gleaned from interviews and surveys show that such procedures are not adhered to. Workers are often excluded from the planning and setting of goals. The quarterly reviews that are meant to assess progress are rarely performed. Training needs that are identified through Performance Management are rarely addressed. A further analysis has revealed that the central tendency is evident when supervisors give performance scores, with most workers being given average scores and few scores being above the average, which adversely affects their motivation. These findings have critical implications for human resources managers in the public sector. The consequence of this is that there is a need to balance the tensions between time constraints and proper Performance Management by involving workers in the whole cycle of Performance Management.

Key words: Employees' Performance Management, monitoring and personal development plan.

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CHAPTER ONE: OVERVIEW OF THE STUDY

Introduction

The major purpose of the study is to analyze the implementation of the Employees' Performance Management and Development System (EPMDS) in the Department of Arts and Culture (DAC) in KwaZulu-Natal (KZN). The objective of this chapter is to provide an overview of the study. This chapter presents the background of the study, a preliminary literature review, the research problem, the research questions and the research objectives. The chapter concludes by presenting the layout of the chapters of the thesis.

1.1 Background of the study

There has been concern among the employees of Department of Arts and Culture in KwaZulu-Natal (DAC-KZN), where the researcher is employed, about the implementation of the Employee Performance Management and Development System (EPMDS). Based on the researcher's observations and experiences, employees have been complaining about the kind of treatment they received during appraisal at the hands of the appraisers, the inadequate number of personnel required to implement the process, and lack of the relevant proficiencies, lack of intrinsic motivation, and scarcity of financial and physical resources. The employees blame their supervisors for their failure to apprise them about the EPMDS. The lack of training on the EPMDS shows that there is poor planning in various directorates of the department and has deprived the employees of an opportunity for professional development. Managers benefited from the process because developmental programmes that were organized were in line with their Personal Development Plan (PDP) while subordinates were marginalized. Managers' opportunities to get promotion increased. Most supervisors write and submit motivations to get incentives and annual bonuses for meeting performance objectives and expectations according to the Annual Performance Plan (APP).

Performance Management should be developmental, and the supervisors are expected to monitor the performance of employees on a continuous basis and provide feedback at least four times a year (Department of Public Service and Administration, 2016:78). The challenge in the Department is that there is no indication of the convening of regular meetings to plan activities

and provide constructive feedback, as a way of coaching and mentoring employees, so that they will develop in the careers. One of the mistakes made by public sector organizations is to underestimate the value of regular meetings (Korir, Rotich, & Bengat, 2015). There seems to be no evidence to show that the supervisors observe and diarise the performance of the employees.

1.2 Research problem

According to Department of Public Service and Administration (2016) Performance Management must be developmental and consultative. Supervisors are expected to convene and conduct regular meetings with employees under their authority to discuss the objectives and expectations of the role of the employee in attaining the discussed objectives of the organization. Another responsibility of the supervisor is to monitor the employee's performance on a continuous basis and provide feedback to the employee about the performance (Department of Public Service and Administration, 2016).

Previous studies have reported that the performance of employees needs to be planned carefully by setting objectives that are challenging yet attainable (Hartle, 1995 & Hartog, Boselie, & Paauwe, 2004). The setting of goals and objectives occurs during the performance planning phase (Department of Public Service and Administration, 2007). Armstrong (2006) asserts that objectives or goals define what organizations, functions, departments, and individuals are expected to achieve over a period. During performance planning, it is important that both the supervisor and the employees agree on performance measures or criteria for assessment (Armstrong, 2006). During monitoring phase, the performance of the individual must be monitored regularly by the supervisor so that it would be easy to identify challenges experienced. This information will assist employees and supervisors to deal with performance-related challenges. The supervisors will identify and provide required support, be able to modify objectives and target to ensure that there is continuous learning and development (Department of Public Service and Administration, 2007). In the performance development review phase, both the supervisor and the employees are expected to review the previous objectives and identify possible new objectives (Department of Public Service and Administration, 2007). It is during this phase of Performance Management that the supervisor assesses and rates an employee's performance and identifies new areas of development by renewing his performance plan (Department of Public Service and Administration, 2007). In regards to performance rewards

and recognition, supervisors are expected to acknowledge employees for work well done (Human Capital Institute, 2009). It is also during this phase that supervisors recommend specialised training and development opportunities for employees who perform extremely well (Department of Public Service and Administration, 2007).

Unfortunately, the researcher's observation at the DAC-KZN is that the implementation of the EPMDS is not as developmental and consultative as is prescribed by the relevant legislation because there is little evidence to show that supervisors and employees hold consultation meetings to discuss and agree on the objectives and goals to be attained and achieved. The requirement regarding communication between supervisors and employees is not well understood, as there is limited interaction to provide ongoing feedback about the attainment, non-attainment, and achievement of goals. Furthermore, there is little training on the EPMDS, so there is always tension between the employees and their supervisor. This is particularly so when it is time for measuring the attainment of their objectives by the employees. Often, employees complain that they are not acknowledged for work well done either formally or informally, and this discourages them from performing well (Human Capital Institute, 2009). The implementation of the process in municipalities is compromised by the lack of political will, leadership, and human power to implement Performance Management system. Managers are failing to address deficiencies such as poor work ethics, general laziness, low morality, and basic health of staff that hampers performance levels (Van der Waldt, 2014).

Because of this problem, it can be argued that the DAC-KZN has employees who lack motivation and are less efficient and effective and that this will negatively affect service delivery. The problem might result in high turnover. The tension between the supervisor and the supervisee will escalate and this will affect human relations in and the performance of the department.

This study has sought to explore the implementation of Performance Management in the DAC-KZN by eliciting the perceptions of its employees on the subject.

1.3 Preliminary literature review

1.3.1 Performance Management

Performance Management is the process through which a supervisor and an employee set performance goals that should be achieved in a given period. Performance Management is regarded as a process which significantly affects organizational success through having supervisors and employees work together to set expectations, review results and reward performance (Grobler, Warnich, Carell, Elbert & Hatfield, 2011). According to Liebenberg & Van der Merwe (2004), Performance Management is a process during which team leaders plan, organise, lead and control performance of team members. Performance Management can also be described as a way of capacitating employees in the workplace through accompaniment by a mentor (Mosoge & Pilane, 2014:06). According to Mucha (2011), Performance Management in the public sector is regarded as an ongoing, organized system designed to enhance results through evidence-based decision making, continuous organizational learning, and a focus on accountability for performance.

Mondy (2010) holds the view that Performance Management is a goal-oriented process which is moving towards ensuring that processes within the organization are put in place to increase the effectiveness of employees and organisations. In the literature, the term Performance Management tends to be used to refer to a system through which organizations set objectives, determine performance standards, assign and assess work, offer performance feedback, determine training and development needs, and distribute rewards (Briscoe & Claus, 2008). Based on these views, Performance Management can be described as a planned, collaborative exerciseduring the course of which a whole staff, teams, groups and individuals set out to realise both individual and organisational objectives. Understanding the nature of Performance Management is important to an organization because it assists the organization to realise the need to ensure that the process is ongoing and developmental. The process involves supervisors and employees setting performance goals, determining performance standards, assessing work, and providing and receiving regular feedback. Understanding the process also assists the organization to comprehend that the process requires careful planning and the full commitment of all members of the organization to realise both individual and organisational objectives.

1.3.2 Performance appraisal

Performance appraisal is the ongoing review of the work performance of the employees in an organization. Swanepoel, Botha, & Mangonyane (2014:14) define that performance appraisal as a formal, structured system for measuring, evaluating and influencing an employee's job-related attributes, behaviours and outcomes. Prinsloo (2015:01) argues that performance appraisal is an initiative that is designed to assess job performance of the employee according to the well communicated organisational goals. According to Sadri, Sadri, & Nayak (2009), performance appraisal is a systematic, periodic and impartial rating of an employee's excellence in matters pertaining to his present job and his potential for a future job in the organization. As a systematic process of judging individual performances, performance appraisal is used as a vehicle to validate and refine employee actions and to provide feedback to employees with an eye to improving future performance (Sadri, Sadri & Nayak, 2009). Grote (2011) concurs that performance appraisal may be defined as the process whereby supervisors assess the performance of employees either half-yearly or annually so as to determine whether to reward and promote the employee or identify training needs. Performance appraisal is the ongoing process of evaluating and managing both the behaviour and outcomes in the workplace (Grobler, Warnich, Carell, Elbert & Hatfield, 2011). Similarly, performance review may be regarded as a process in which the organization measures its own performance in terms of whether it is realising its set objectives or not (Department of Provincial and Local Government, 2001). Based on these opinions, one can define performance appraisal as a well planned activity, which takes place either half-yearly or annually, that involves evaluating the performance of employees with the intention of rewarding and/or promoting them or identifying their training needs.

1.4 Research questions

This dissertation seeks to address the following questions:

1. How is the performance planning process conducted in the DAC-KZN?
2. What are the perceptions of workers regarding the Performance Management processes in regard to monitoring and development?
3. How do the employees at the DAC-KZN perceive the Performance Management review process?

4. What are the perceptions of employees at the DAC-KZN regarding the recognition and rewards linked to their performance ratings?

1.5 Research objectives

The research objectives of a study indicate its desired goals. The main goal of the study is to analyse the perceptions of employees towards the implementation of Performance Management and Development System in the DAC-KZN. The major objectives of this study are:

1. To investigate how the performance planning process is conducted in the DAC-KZN;
2. To establish the perceptions of workers regarding the Performance Management processes of monitoring and development;
3. To determine how the employees of the DAC-KZN perceive the Performance Management review process; and
4. To investigate the perceptions of the employees at DAC-KZN regarding the recognition and rewards linked to their performance ratings.

1.6 The rationale of the study

This study is conducted with the purpose of analyzing the perceptions of employees about the implementation of the EPMDS in the Department of Arts and Culture (DAC) in KwaZulu-Natal (KZN). The study will assist employees of DAC-KZN to better understand the processes of the Employees' Performance Management and Development System (EPMDS), as relevant literature will be unpacked in the study. Understanding the process of Performance Management will assist in preventing tensions that occur during a performance appraisal, which is related to the rating of employees. The study will also help public sector managers and supervisors to have an in-depth knowledge of Performance Management.

1.7 Limitations of the study

In this context, the term 'limitations' refers to the matters and occurrences that arise in a study which are out of the control of a researcher (Simon & Goes, 2013). The findings of the study are subject to at least three limitations. Firstly, the researcher is an employee of the department where the research is conducted. To remove biases the researcher purposively selected respondents and interviewees in different bands of the department. The researcher prepared questionnaires and interview guide adequately and objectively. The researcher did not

manipulate the results by sticking to data collected. During the interviewing process, the researcher did not ask long questions which might confuse the interviewees.

Secondly, there was an insufficient budget to enable the researcher to visit and interview all the participants in the three different regions (Northern, Eastern, and Western) of the Department. Finally, the study sample consisted of employees of the DAC-KZN. As a result, the findings might not be generalizable to other provincial government departments. In addition, the research was head office-based. The head office is in the Southern region, and that is where the process of the EPMDS is centrally controlled. Considering the depth and thoroughness of the study at the head office, these weaknesses should not pose a significant threat to the validity of the overall findings of the study.

1.8 Definition of concepts related to Performance Management

Performance Management system

According to Kanyane & Mabelane (2009:60), Performance Management system is an integrated framework to measure performance of the institution and that of its personnel. Performance Management is an “umbrella” application for the total management of municipal performance (Waldt, 2007:111).

Performance appraisal

Performance appraisal is a formal, structured system for measuring, evaluating and influencing an employee’s job-related attributes, behaviours and outcomes (Swanepoel, Botha & Mangonyane, 2014:14).

Performance plan

Performance plan is a document, which contains Key performance Areas, associated indicators and targets as well as applicable core competency requirements (Department of Public Service and Administration, 2007:13).

Performance agreement

Performance agreement is a document agreed upon and signed by the employee and supervisor, which reflects outputs in the work plan expected of the employee, the performance standards that will apply and measures to assess performance (Department of Public Service and Administration, 2007:14).

Key performance area

Key performance area is an area of a job that is critical in terms of making an effective contribution to the achievement of organizational goals (Department of Public Service and Administration, 2007:14).

Personal development plan

Personal development plan is a requirement of the performance agreement whereby important competency development needs of the employee are written down, together with strategies by which these development needs of the employee would be addressed (Department of Public Service and Administration, 2007:14).

Performance review

Performance review takes place through formal sessions at periodic interval during performance cycle. These are intended to evaluate the level of performance against key result areas (Department of Public Service and Administration, 2007:15).

Performance rating

Performance rating is the allocation of a score to individual key performance area in accordance with the prescribed rating scale (Department of Public Service and Administration, 2007:16).

Performance moderation

Performance moderation is the review of employee assessment scores to ensure consistency and fairness across the department through a common understanding of performance standards required at each level of the rating scale (Department of Public Service and Administration, 2007:15).

1.9 Chapter layout

The study comprises of six chapters. Chapter 1 presents an introduction to the study and describes or presents its background, research problem, research questions, research objectives and chapter layout. Chapter 2 covers the conceptual framework of Performance Management by discussing the literature available. This chapter also discusses the theories underpinning the study, which are the Panopticon and goal-setting theories. Chapter 3 describes the context in which Performance Management is implemented in South Africa. The chapter discusses the legislation pertinent to the implementation of Performance Management in South Africa. It also

highlights the challenges facing the implementation of Performance Management in South Africa, particularly in the public sector. Chapter 4 discusses the methodology used in the study. The chapter explains the research design, sampling methods and data collection methods to be utilized during the study. The chapter concludes by examining the ethical considerations that need to be attended to when conducting such a study. Chapter 5 analyses and interprets the data of the study, using graphs and tables. The chapter concludes by discussing the findings of the study. Chapter 6 provides a summary, recommendations, and the conclusion of the study. The recommendations should assist the Department to fill the gaps in the implementation of the EPMDS policy. The employees and managers acknowledged the gaps in the implementation of EPMDS. This occurred during interviews as interviews involved both employees and managers. This was further evident in the questionnaires which were completed by both employees and managers

CHAPTER TWO: CONCEPTUALISING PERFORMANCE MANAGEMENT

Introduction

The main aim of this study is to analyze the implementation of the Employee Performance Management and Development System (EPMDS) in the Department of Arts and Culture (DAC) in KwaZulu-Natal (KZN). The purpose of this chapter is to examine the current literature related to Performance Management. The chapter begins by discussing and outlining the differences between Performance Management and performance appraisal. Next, the chapter outlines the purposes of Performance Management and the objectives of performance appraisal and the advantages of performance appraisal and principles of Performance Management are discussed. After that, the stages of the Performance Management process, the benefits of Performance Management and the theories which underpin the study are discussed. The chapter concludes by discussing the application of goal setting theory in a workplace as well as its strengths and limitations.

2.1 Performance Management

Performance Management is a term frequently used in literature, but to date, there is no consensus about its definition (Abdullah & Mohammed, 2013; Hartog, Boselie & Paauwe, 2004). This has become evident when consulting the literature on Performance Management. This section provides various definitions of Performance Management and performance appraisal according to different scholars and the definition that will be adopted for the purpose of this study.

The term Performance Management refers to a process whereby employees and supervisors set goals and objectives to be attained and agree on criteria to be used to assess the achievement of the set goals and objectives. For Akata (2003), Performance Management refers to the methodical and holistic process of work planning, monitoring, and measurement which aims at improving the team's and individual employee's contribution to the achievement of organizational goals. Performance Management is an integrative process in which managers and employees set goals and targets, assess and review results, and reward performance, in order to improve employees' performance with the ultimate aim of positively affecting organizational success (Hartog, Boselie & Paauwe, 2004). It involves activities that aim at enhancing and

developing the performance of employees (DeNisi & Pritchard, 2006). Performance Management is an “umbrella” application for the total management of municipal performance (Van der Waldt, *Municipal Management: Serving the People*, 2007). It is a goal-driven process directed toward ensuring that organizational processes are in place to enhance the productivity of workers, teams, and ultimately, the organization (Foot & Hook, 2011). According to Kanyane & Mabelane (2009), Performance Management system is an integrated framework to measure the performance of the institution and that of its personnel. It involves the setting of performance standards and expectations by watching and providing feedback and utilising various appraisal methods to attain the best results by managing the performance of employees, and it is intended to develop the capabilities and improve the performance of people striving towards prefixed goals and objectives to increase the efficiency and effectiveness of the workplace (Jindal & Navneet, 2015). Likewise, Kartini (2015) holds the view that Performance Management emphasises the incorporation of the targets of organizations, teams, and individuals, and that it is a continuous process, not designed at the top and cascaded down, but a flexible process.

Performance Management is an ongoing, ceaseless process of recognizing, measuring and developing performance in an organization by aligning each individual’s performance and goals to the organization’s overall mission and goals (Aguinis, 2011). The definition comprises of two components: Performance Management is an ongoing process meaning that it is continuous and involves a never-ending process of setting goals and objectives, observing performance, and giving and receiving ongoing coaching and feedback; while the second component involves aligning individual objectives to the mission and goals of the organization, meaning that Performance Management requires that managers ensure that employees’ activities and outputs are consistent with the organization’s goals, and consequently help the organization to gain a competitive advantage. Performance Management, therefore, creates a direct link between employee performance and organizational goals and makes the employee’s contribution to the organization explicit. This is the definition of Performance Management that is adopted for this study. This is a definition by Aguinis (2011). The researcher adopted this definition as the one that guides the study.

There is consensus among Performance Management scholars that Performance Management is a systematic, goal-driven, continuous, integrative and flexible process which aims at developing

employees and organizations to increase their productivity (Foot & Hook, 2011; Jindal & Navneet, 2015; Kartini, 2015; Hartog, Boselie & Paauwe, 2004; DeNisi & Pritchard, 2006; Armstrong, 2006; Broadbent & Laughlin, 2006). Performance Management is a systematic process in which the supervisor discusses with employees their expectations and goals, the criteria to be used during the appraisals of their performance, continuously monitors their progress, offers feedback and rewards outstanding performance.

2.2 The purposes of Performance Management

The intentions of Performance Management include implementing the strategy of the organization, changing the culture of the organization and providing inputs to Human Resource (HR) systems such as training and remuneration (Van Dyk, Nel, & Haasbroek, 2004).

2.2.1 Implementing the strategy of the organization

The term strategy is used to refer to methods and procedures which the organization utilizes to ensure that the goals of the organization are realized. The term implementation is generally understood to mean putting ideas into action to achieve set objectives. According to Yang, Sun & Martin (2008:05), strategy implementation can be defined 'as a process that turns into assignments and ensures that such assignments are executed in a manner that accomplishes the plan's stated objectives'. According to Schaap (2006:15) implementation can be defined as 'as an operation defined as those senior-level leadership behaviours and activities that will transform a working plan into concrete reality'. This denotes that strategy implementation is all about putting into practice the goals that have been agreed upon in the strategic planning sessions and to guarantee that the goals set are achieved. It is the strategic goal of the department to develop employees so that they will deliver good and quality service.

2.2.2 Providing inputs to human resource systems

Performance Management contributes to the planning and organization of training workshops in the organization. All the submitted Personal Development Plans (PDP) might positively contribute to the development of employees by organizing developmental training workshops that are aligned with the content of PDPs. There is evidence to suggest that training is a strategic process to alter outlook, knowledge or skill or conduct through learning experience to attain the

maximum performance in any activity or range of activities, and it aims at cultivating the potential of people and at fulfilling the existing and future human resource needs of the company (Mousa, 2009).

Abdullah & Mohamed (2013) argue that the objectives of Performance Management are to provide guidance and direction regarding organizational aims and objectives; to align individual employee's goals to the organization's mission and strategic direction; to improve communication and relationships among workers; to provide constructive criticism in a transparent manner with the sole objective of improving worker performance; to link worker performance to rewards; to increase workers' motivational levels by providing them with inputs on their performances; to provide workers with standards against which performance will be assessed; and to develop a culture that focuses on performance improvement, training, and development. This means that Performance Management assists in identifying areas where individuals are lacking, provides support, coaching and mentoring, and helps employees to know what is expected in terms of performance standards.

2.2.3 Providing guidance and direction regarding organizational aims and objectives

Performance Management directs what needs to be done in the organization. It is about the vision of the organization. Performance Management clarifies the strategic goals of the organization so that all efforts are harnessed to ensuring that stated goals and objectives are achieved. A goal can be regarded as a declaration of the state an organization aspires to be in. Performance Management in the organisation dictates what needs to be done so that the goals that the organisation has set are achieved.

2.2.4 Aligning individual employee's goals to the organization's mission and strategic direction

Setting performance goals for the individual that are congruent with the organization's goals is a prerequisite for the achievement of strategic goals of the organization. It is significant that each individual employee should understand what is expected of him and how each of his goals contributes to the strategic goals of the organization. According to Seotlela & Miruka (2014), the duties and key result indicators (KRI) included in the job description of the individual employee should be compatible with the organizational goals. Similarly, Mehdi (2014) holds the view that for an organization to succeed, the individual employee and the organization need to

share common goals. That is the reason why alignment is referred to as a situation where individual goals are compatible with organizational goals. There is also some evidence to suggest that it is a commonly held view among supervisors and managers that employees will perform better if they understand the contribution that their work makes to meeting the written objectives and goals of the organization (Leopold & Harris, 2009). This denotes that the organization will probably fail to deliver if the goals of the individuals do not speak to the goals of the organization. A link between individual and organizational goals will go a long way to contributing to the success of an organization. Performance Management will assist organizations to ensure that performance planning meetings take place in the organization. It is during performance planning meetings that the strategic goals of the organization are clarified to the employees. Having understood the organizational goals, the employees together with the supervisors will be able to agree to and align individual employee goals with the strategic goals of the organization.

2.2.5 Improving communication and relationships among workers

For an organization to be effective, good relationship should exist between the supervisor and the employee. There should be trust between them. The presence of trust assists the supervisor to communicate the goals of the organization in a less strenuous manner. When good relationship exists between the supervisor and the employees, the coaching, mentoring and monitoring of the employees' skills levels is enhanced. According to Nel (2011), the only way through which people can establish and maintain a relationship with other people is through communication, and communication is a social process, so it requires the full participation of social being; in this case, the supervisor and the subordinate. So it is important to encourage supervisors and employees to develop mutual trust so that they can freely communicate their opinions and feelings. When there is a communication breakdown between the employees and their supervisors, performance planning and performance appraisal meetings do not take place, as the supervisor and the employees avoid one another. On an individual level, the outcome might be that the employees concerned are not professionally developing, as no coaching and mentoring is received from the supervisor. On an organizational level, the strategic objectives of the organizations might not be achieved because of the poor working relationship between the supervisor and employees.

2.2.6 Providing constructive criticism in a transparent manner

The employee must have a clear understanding of when the monitoring of his work will take place. Performance planning at the beginning of a performance cycle can play a crucial role in preparing the employee to work according to an agreed schedule for monitoring performance. During performance monitoring contact sessions, it is important that feedback should be offered in a manner that will not demoralize the employee. It is necessary to commend what the employee has done perfectly and then indicate the areas that require attention in a manner that will inspire him to correct weaknesses. According to Kartini (2015), providing feedback is an important thing for the workers. It is argued that feedback is the process of conveying information to someone about how you feel about his performance on a certain task (Kartini, 2015), and that providing feedback assists employees to become aware of their strengths and weaknesses. Nel (2011) also holds the view that feedback assists employees to identify their strengths and weaknesses, and that critical key performance areas are re-emphasized. It is important to offer feedback to employee that is understandable, acceptable, plausible and constructive (Kartini, 2015). The manner in which feedback is provided to employees might either motivate or demoralise them. Offering constructive feedback changes employees behaviour and the employees are motivated to perform better.

2.2.7 Linking worker performance to rewards

Some workers are intrinsically motivated to work hard and efficiently in the organization, while others are not and need to be extrinsically motivated. Rewards can also serve as a motivating factor in encouraging workers to exhibit good performance. Rewards in the form of cash bonuses may motivate workers to work diligently. Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014) hold the view that the recognition of performance is the single most powerful instrument management has with which to change, establish and reinforce those outputs and behaviours of employees through which strategic business objectives and results are achieved. According to Pulakos (2004), one of the many ways to encourage good performance is to develop a policy and implement a consistent performance appraisal system and reward outstanding employees and teams. There is evidence to suggest that all performance-based pay acts as a motivator to increase performance (Leopold & Harris, 2009). When an organization rewards good performance, employees are likely to show outstanding performance. Public sector organizations need to have clear and transparent reward policies to reward employees who

are diligent and work beyond the call of duty to provide efficient services to clients and stakeholders.

2.3 Performance appraisal

The term Performance Management is used interchangeably with performance appraisal. Performance Management can be regarded as a broad term related to all activities performed in managing performance in an organization, while performance appraisal refers to an activity done to manage performance in the organization. Performance appraisals can be described as periodic assessments of employees' progress towards the achievement of set goals and objectives. Performance appraisals assist stakeholders (subordinates and supervisors) in Performance Management to know their progress towards the achievement of their set goals, which consequently assists in the realization of the goals of the organization. Performance appraisal may be defined as a formal and systematic process, by means of which the job-related strengths and weaknesses of employees are identified, observed, measured, recorded and developed (Swanepoel, Erasmus & Schenk, 2008). Performance appraisal is a formal system of review and assessment of individual or team task performance (Foot & Hook, 2011). A broader perspective has been adopted by Molofo (2012), who argues that performance appraisal is a systematic and periodic process in which individual employees' performance is measured, based on the predetermined goals and objectives of an organization or department. Performance appraisal is the personnel activity by which the organization determines the extent to which the employee is performing the job effectively (Abdullah & Mohamed, 2013).

Drawing from these definitions, one can say that performance appraisal is a formal system of examining and assessing how good employees progress towards achieving set objectives and expectations. Performance appraisal is about judging employees' performances against activities projected on a work plan with the intention of identifying the strengths and weaknesses of individual employees.

2.4 Common rater errors in performance appraisal

Although performance appraisal is regarded as a most effective tool in enhancing the performance of employee, there are errors which might occur during this process, such as giving way to the recency effect, leniency or strictness, the central tendency, the halo effect and personal biases (stereotyping), all of which can frustrate the process. It is important that the

supervisor is aware of them and circumvents them. Common rater errors are errors in judgment that occur in a systematic manner when an individual observes and evaluate one another.

2.4.1 The recency effect

When rating performance, supervisors are tempted to focus heavily on what the employee has done recently, and this is referred to as the recency effect. Grobler, Warnich, Carell, Elbert & Hatfield (2011) point out that a recency effect is a rating error that occurs when an appraiser assigns a rating on the basis of the employee's most recent performance rather than on long-term performance. Foot & Hook (2011) argue that employees know when the appraisal is close, they purposefully enhance their work performance, and their productivity improves prior to the performance appraisal. Foot & Hook (2011) further argue that it is common for a rater to remember recent behaviour more clearly than past behaviour. As noted by Swanepoel, Erasmus, & Schenk (2008), the recency effect refers to the trend to emphasize recent behaviours rather than the individual's performance over the entire performance cycle. Current research suggests that recently observed employees' behaviour tends to overshadow employees' performance over a period of time (Abdullah & Mohamed, 2013). This might mean that the judgement of the supervisor is based on the recently exhibited behaviour rather the actual behaviour of the employee over time. To avoid the recency error, the rater is encouraged to conduct frequent appraisals and to note critical incidents of the employee's behaviour and outcomes. These notes become handy when conducting annual performance appraisal. Having regular performance appraisals helps to overcome the recency effect because after each month or quarter the performance of the employee is recorded and appraised.

2.4.2 Leniency or strictness

Some raters are lenient when rating the performance of their subordinates for fear of being questioned by their subordinates, and the assumption is that novice raters are very lenient. Most experienced raters are presumed to be too strict in their rating, mainly because of their experience in the field, and they administer ratings without fear or favour. Leniency or strictness can be described as the tendency of a rater to assign either the most favourable or the most unfavourable rating to all employees (Swanepoel, Erasmus & Schenk, 2008). Abdullah & Mohamed (2013) hold the view that evaluators might rate workers wrongly because they are too

strict or too lenient in their judgments. Likewise, Foot & Hook (2011) maintain that giving underserved high scores to employees is known as leniency. There is some evidence to suggest that giving undeserved high scores to employees is motivated by a desire to prevent disputes (Foot & Hook, 2011). According to Foot and Hook (2011), strictness occurs when the rater believes that no employee has achieved the required standards. The term strictness is generally understood to mean 'being duly critical of employees' work performance' (Foot & Hook, 2011). This behavior may be caused by a lack of understanding of various evaluation factors. Counseling is recommended as the best method of averting this problem. Rating employees too high or too low does not assist in their development. They need to be rated against a performance that has been observed, and this assists in identifying their strong and weak points.

2.4.3 The central tendency

Supervisors find it difficult to rate their subordinate in accordance with the performance they have observed. Swanepoel, Erasmus & Schenk (2008) argue that some raters find it difficult or unpleasant to evaluate individual employees higher or lower than others, even though their job performance may reflect significant differences. They tend to rate everyone as average, which practice is called the central tendency. Foot & Hook (2011) maintain that central tendency error is an evaluation appraisal error that takes place when employees are incorrectly rated near the average or middle of a scale. It is claimed that this practice may be stimulated by having a particular rating scale system that requires the evaluator to justify in writing extremely high or extremely low ratings (Foot & Hook, 2011). There is an inclination of assessors to centralise ratings and rate all workers as average. This may occur because the assessor has little information about the workers or does not know them (Abdullah & Mohamed, 2013). It is very demoralizing for an outstanding performer to realise that he has been rated very much the same as less dedicated employees, and this might demoralise the employee.

2.4.4 The halo effect

The halo effect occurs when the supervisor's rating of an employee is based on one characteristic that biases the rating of other characteristics. The employee has successfully performed well in one area, and may be rated very well even when the employee has not performed well in others. The characteristic may be positive when it is called the halo effect, or it may be negative, when it is called the 'devil's horn'. In both cases, there is a tendency to allow the rating assigned to one

performance dimension to excessively influence, either positively or negatively, the ratings on all consequent dimensions (Swanepoel, Erasmus & Schenk, 2008). A halo error occurs when a manager or supervisor generalizes one positive performance feature or incident to all aspects of employee's performance, resulting in a higher rating (Foot & Hook, 2011). According to Foot & Hook (2011), the opposite of the halo effect/error is the horn error, which is described as the evaluation error that occurs when a manager generalises one negative performance feature or incident to all aspects of an employee's performance, resulting in an unreasonably low rating. The worker is judged on the basis of this one specific characteristic, and this overshadows all other characteristics (Abdullah & Mohammed, 2013). This can be overcome by developing new, more sophisticated techniques and formats that incorporate design features and procedures aimed at minimising the risk of subjectivity (Swanepoel, Erasmus & Schenk, 2008).

2.4.5 Personal biases (stereotyping)

When supervisors rate their employees they need to attempt to suspend their biases. Biases are unfair inclinations. Abdullah & Mohammed (2013) argue that appraisals involve people watching and judging other people's behaviour, and this observation and judgement might be subject to distortions and biases. Nel (2011) holds the view that bias may be conscious or unconscious, and can be difficult to overcome because it is usually hidden. The evaluator's own standards and norms may make the evaluator prejudiced against certain groups. Supervisory bias may occur when the rater is influenced by characteristics such as the age, gender, race or seniority of the employee (Nel, 2011). Bias may occur when a mild-mannered employee is appraised more harshly because the employee does not seriously object to the results (Foot & Hook, 2011).

A thorough understanding of common errors in performance appraisal might assist DAC supervisors to circumvent the halo effect. It might also assist DAC supervisors to refrain from using averages when rating employees' performance because that might be detrimental to the assessment of employees who perform well, who might be rated average and not be rewarded because of the assessor's deferring to the central tendency. Rating employees too high and too low does not assist in the development of employees.

The common rater errors in performance appraisal having been discussed, the next section will discuss the challenges of performance appraisal.

2.5 The challenges of performance appraisal

Although performance appraisal is recommended as an important aspect of human resource development, recent research has suggested that there are challenges in implementing it, which range from its being time consuming, its being bedevilled by poor communication, and the possibility that it might result in a loss of trust and a consequent loss of a team spirit (Clinton & Flaniken, 2014).

2.5.1 Time consuming

Performance appraisal may occupy a significant amount of time for employees and their supervisors, but it is time well spent. According to Nel (2011), some managers may create excuses to avoid conducting performance appraisal with their subordinates because they may find it difficult to give them appropriate feedback, and some reference their busy schedules and claim that conducting appraisals will waste their time. It is important to conduct appraisals, because they assist in identifying areas where improvements need to be made, and they contribute to the achievement of organizational goals, especially when feedback is offered on a regular basis.

2.5.2 Poor communication

Supervisors need to communicate on a daily basis with employees about their progress in achieving the goals of the organization. When employees and supervisors have not engaged in planning for the year, it becomes difficult for an employee to perform appropriately in the organization. According to Nel (2011), there should be at least two meetings per year where the supervisor communicates with an employee about the progress that has been made, reveals the ratings that have been allocated to the employee, and states what needs to be strengthened in the employee's performance. The failure to meet regularly may result in the individual and organization failing to reach their targets.

2.5.3 Weakening trust and teamwork

When performance appraisal meetings between supervisors and employees do not take place as specified in the policy document, employees start to doubt the proficiencies of their supervisors.

A team in this context is two or more individuals with complementary skills interacting with one another according to a specific strategy to achieve particular goals, who share a common identity and have common norms (Nel, 2011). If the meetings and interactions about goals do not take place, the supervisee will eventually lose trust in the supervisor. Supervisors should endeavor to create time to discuss progress so that trust and team work is strengthened and developed.

This section has analyzed the challenges inherent in performance appraisal and has argued that they range from their being time to consume, to the perils of poor communication and to the weakening of trust and the destruction of team spirit. The next section will discuss the principles of Performance Management systems.

2.6 The principles of Performance Management systems

Torrington (2014) argues that Performance Management systems should link organizational objectives and individual objectives, must be driven by supervisors, must involve the keeping of records of development plans, must involve the convening of meetings to discuss progress, and must also involve the rewarding of performance.

2.6.1 Linking organizational objectives and individual objectives

All the employees of the organization should be aware of the goals of the organization. Supervisors are expected to communicate the goals of the organization in the performance planning meetings of their sections. During performance planning meetings, the supervisor and the employee meet to share information about the strategic goals of the organization and how best these goals can be achieved, and this includes how the organization's strategic goals must be adopted and adapted by the section and the individual (Nel, 2011). Recent research has suggested that performance planning means setting performance expectations and goals for teams and individuals to channel their efforts towards achieving organizational objectives (Swanepoel, Erasmus, Schenk and Tshilongamulenzhe, 2014). Knowing the organization's objectives can go a long way towards motivating employees to dedicate themselves to contributing to the achievement of the goals of the organization.

2.6.2 Must be driven by supervisors

The supervisor must lead in implementing Performance Management within the unit. The supervisor must convene performance planning meetings with employees. The supervisor is

expected to define, clarify, set the direction, and assist in determining the goals and objectives of employees, and in developing an action plan (Nel, 2011). Swanepoel, Erasmus, Schenk, & Tshilongamulenzhe (2014) hold the view that during performance planning the supervisor should be able to unpack a job description, identify the key performance areas of the job, lead in developing the performance expectations of employees, and identify applicable performance factors. The supervisor needs to understand his responsibility well because the achievements of the organization depend solely on his ability to communicate the organization's goals to employees.

2.6.3 The supervisor must keep records of development plans

The supervisor must be a good administrator and must be able to file the records of all the employees under his supervision. Recent research has suggested that documenting performance can be done by means of structured and unstructured dairies, work samples and employee fact files (Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014). It is important that supervisors keep records of all development plans so as to know whether the employee has undergone the development that was projected at the beginning of the performance cycle.

2.6.4 The supervisor must keep a record of meetings to discuss progress

Meetings to discuss their performance with employees must be scheduled and diarised by the supervisor. This will provide the supervisor with an opportunity to reflect on the performance of employees by using the files, work samples, and diary. According to Nel (2011), during the performance appraisal meeting, the supervisor should provide coaching and mentoring. Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014) hold the view that during a performance appraisal meeting the performance of the employee is evaluated against agreed standards, so that the supervisor may indicate areas where the employee has performed outstandingly and where he has not performed satisfactorily. Without frequent meetings to discuss performance, employees may not know their weaknesses and strengths.

2.6.5 Rewarding performance

To maintain highly motivated and happy employees, rewards and incentives should be made available. Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014) suggest that organizations should follow a balanced approach to paying for outstanding performance, for achieving targets, and for rising to expectations, and that such a system should be supported by a structured wage

and benefits system that is market related. In order for a public organization to retain high performers, it needs to pay them well so that they can avoid the temptation of being lured away by the private sector.

This section has discussed the principles of Performance Management systems. The following section will discuss the process of Performance Management .

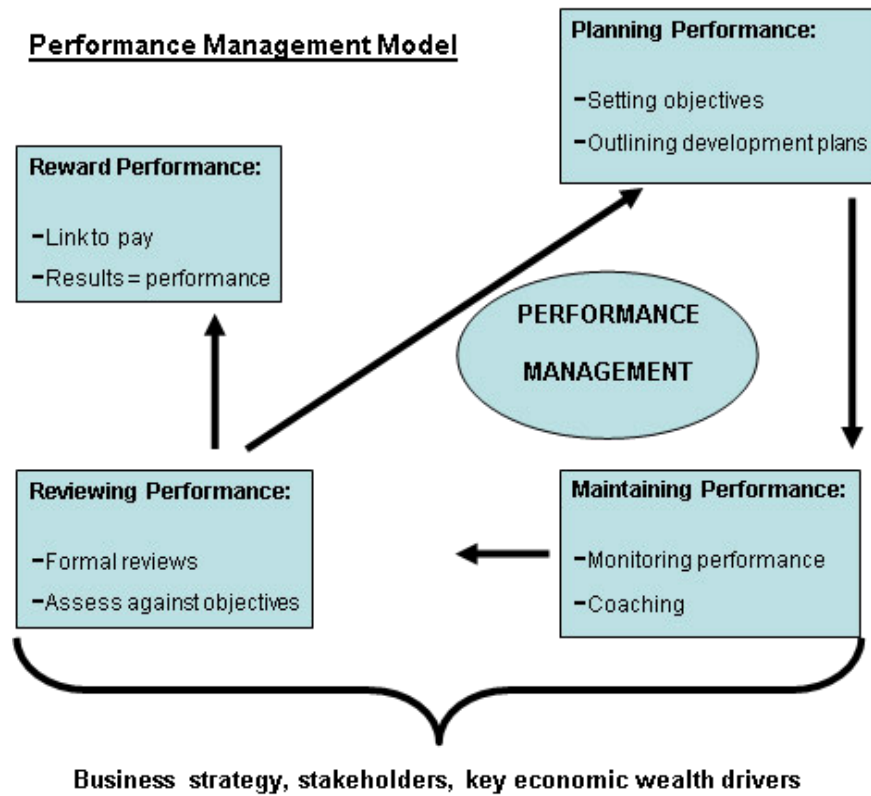
2.7 The Performance Management process

In this section, the study draws on O' Callaghan's 2005 model of Performance Management to illustrate how the process can be utilized to motivate employees in public organizations. This model is useful in understanding the application of Performance Management in organizations.

As shown in Figure 2.1, the Performance Management process consists of four stages, namely planning performance, maintaining performance, reviewing performance and rewarding performance. Different stages of the Performance Management process will be discussed so as to give flesh to the framework depicted below.

This is the conceptual framework that underpins my study.

Figure 2.1: Performance Management Process



Source: O'Callaghan (2005:03)

2.7.1 Planning Performance

Planning performance involves the process of having a formal meeting with the supervisor to discuss goals and expectations at the beginning of the cycle. According to Molofa (2012), planning is a requirement for the effective implementation of Performance Management in any organization. Pulakos (2004) posits that performance planning entails reviewing their performance expectations with employees, including both the behaviours employees are expected to display and the results they are expected to achieve during the oncoming performance cycle. The term “results” refers to what needs to be done or the outcomes an employee must produce (Smither & Manuel, 2009). Performance planning is an interaction or a meeting between a supervisor and an employee under his/her supervision to determine and agree on their objectives and expectations, to determine the methods to be used during the evaluation process, and finally to develop an action plan which will be used to clarify and communicate requirements and responsibilities (Wohleber, 2008; Amos, Ristow, Ristow & Pearse, 2008; and Nel, 2008).

Smither & Manuel (2009) hold the view that at the beginning of each performance cycle the supervisor and the employee should meet to discuss, and agree on what needs to be done and how it should be done. Albrecht, Baker, Gruman, Macey, & Saks (2015) maintain that the first element in the engagement management model involves having employees and their supervisors agree on a goal or set of goals to be achieved. Goal clarity is regarded as essential in Performance Management doctrine (Ammons & Roenigk, 2015). According to Ammons & Roenigk (2015), such clarity may be achieved by the establishment of targets.

The outcome of the meeting is usually a signed performance agreement between the supervisor and the employee (Amos, Ristow, Ristow & Pearse, 2008). The benefits that are associated with this stage are that the employee would have clear goals and objectives to work toward, would know the criteria his performance will be assessed on, two way communications would develop between the supervisor and employee, the relationship between the supervisor and the supervisee would improve, and the employee’s motivation would be strengthened (Amos, Ristow, Ristow, & Pearse, 2008). Hendricks & Matsiliza (2015) are of the opinion that the benefits that are associated with performance planning are that employees create their own work plans, they have

ownership of their work, they become responsible, and they strive to perform the activities contained in the work plan effectively.

From the discussion of the performance of planning, it has become evident that it requires the full participation of the supervisor and the supervisee in setting performance standards, goals and objectives to be achieved during the performance period. Performance planning assists in unpacking performance standards and clarifying objectives to the employees. From what has been discussed above, it is clear that performance planning remains the most important stage in Performance Management.

2.7.2 Maintaining Performance

The supervisor, as the employee's mentor and coach, is expected to ensure that the employee's performance is guided and enhanced by his regular feedback. Albrecht, Baker, Gruman, Macey, & Saks (2015) hold the view that the second step in Performance Management is the ongoing monitoring of psychological agreements. Monitoring involves gathering, scrutinizing, and reporting data on inputs, activities, outputs, outcomes, and impacts as well as external factors, in a way that supports effective management. Performance monitoring is a continuous process that accompanies the implementation of the agreed Integrated Development Plan (IDP) (Department of Provincial and Local Government, 2001). Recent research suggests that regular coaching and social support should facilitate the development of employee engagement (Albrecht, Baker, Gruman, Macey & Saks, 2015). Ammons & Roenigk (2015) assert that in terms of monitoring performance, managers and supervisors and their colleagues are expected to show that they are progressing toward the achievement of set objectives and that the pace at which they are progressing is sound. Recent research has suggested that it is the responsibility of the management and the employees' immediate supervisors to inform the employees how they are performing (Rani & Srivastava, 2016).

If Pulakos' (2004) findings are true, the performance of employees should be discussed and feedback provided on an ongoing basis throughout the rating period. Many scholars hold the view that the responsibility to offer feedback rests with the supervisor, that it should be given in either formal or informal meeting, and that feedback meetings should consist of two-way communication between the supervisor and the subordinate (Pulakos, 2004; Amos, Ristow, Ristow & Pearse, 2008; Molofo, 2012). Feedback should focus on the processes that people

engage in, like effort, strategies, and persistence, and the supervisor should be flexible and have the discretion to make wise decisions to alter the operations required in order to reach the set objectives (Krullars & Visbeen, 2015; Ammons & Roenigk, 2015). According to Pulakos (2004), supervisors need training on how to provide constructive feedback in a truthful and timely manner. Constructive feedback assists in increasing employees' engagement in future performance feedback meetings (Albrecht, Baker, Gruman, Macey & Saks, 2015).

Pulakos (2004) lists six guidelines for providing effective feedback, namely: providing positive and constructive feedback in a private environment; providing the employees with an opportunity to say what they think they could have been done differently; pointing out performance that was effective and acceptable and performance that was not effective and which therefore requires improvement; commenting on the task executed and not on the characteristics of the person; collectively agreeing on the programme to address weaknesses in performance, offering help to address the shortcomings identified, and providing the resources required to address them. Similarly, the Public Service Commission (2007) asserts that feedback should be immediate, specific, and expressed in relation to a particular outcome and expectation. Likewise, Asamu (2013) asserts that the feedback mechanism is essential in Performance Management. Amos, Ristow, Ristow, & Pearse (2008) argue that the benefit that can be gained from assessing continuously is that it offers the supervisor the opportunity to identify performance problems immediately, discuss them with affected employees, and agree on corrective action.

Feedback is closely related to training. Training is a remedy for all manner of managerial ills, ranging from ethical problems and rule violations to employees' lack of skills. When management decides that it is necessary to make a major change that will trickle down to what the organization's employees have to do, training will transfer information about the changes and what has necessitated them to the employees, and simply knowing more about a reform may make the employees more likely to implement it. The implementation of the reform is more likely to be successful when employees are given the skills to meet the new demands. This is referred to as the capacity effect (Kroll & Moynihan, 2015).

Coaching, which is an aspect of maintaining performance, is an ongoing process which aims at developing, nurturing and assisting employees to improve their performance and capabilities

(O'Callaghan, 2005; Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014). What can be gleaned from these views regarding maintaining performance is that maintaining performance improves the performance of employees.

2.7.3 Reviewing performance

Reviewing performance is significant because it provides feedback to the supervisor about the progress of the employee, and the employee benefits from knowing his strong and weak points. It helps all those involved in Performance Management to plan a way forward and thus to address areas of concern. Nel (2008) argues that the term “performance appraisal” is generally understood to mean an official and systematic process by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed. Kondrasuk (2011) and Jindal & Navneet (2015:47) hold the view that “performance review “is synonymous with performance appraisal review, performance evaluation, and other terms or combinations of terms. Performance appraisal is the systematic observation and evaluation of employees’ performance (Lunenburg, 2011). Evaluation is a time-bound and periodic activity that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, supervisors and policy makers (Department of Monitoring and Evaluation, 2007).

2.7.4 Rewarding performance

It is a commonly accepted notion that when an organization rewards good performance, the employees in that organization are motivated to put in an extra effort. Jiang, Xiao, & Qi (2009) define rewards as the compensation which an employee receives from an organization for services rendered. According to Hosoi (2005), rewarding outstanding work is essential to strengthen and maintain employee engagement. Recent research has suggested that performance is often encouraged through rewards, and paying for performance is motivating to the extent that it is connected with meeting employees’ needs for recognition and achievement (Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014). Some rewards are intrinsic in nature, but others are extrinsic. Hosoi (2005) argues that extrinsic rewards such as praise, public recognition, professional advancement and provision of opportunities act as good motivators which can be as effective as extrinsic rewards such as monetary reward and gifts, which might motivate employees to win the reward rather than to focus on the work itself.

Rewarding employees well also reduces staff turnover. According to Nel (2011), companies must pay for good performance. The Batho Pele document asserts that those individuals or team members who offer best customer service should be rewarded (Department of Public Service and Administration, 1997). Recent research suggests that rewards drive behavior and that the incentives that persuade them to produce outstanding work appear in various forms, which include paid time off, bonuses, cash and travel perks (Njanja, Mania, Kibet & Njangi, 2013; Ganta, 2014). Cash bonuses can be used as a form of reward and appreciation for good performance, and research suggests that it improves performance (Njanja, Mania, Kibet & Njangi, 2013). Recent studies suggest that promotion and rewards assist in motivating employees (Rani & Srivastava, 2016; Njanja, Mania, Kibet & Njangi, 2013). There is some evidence to suggest that by personalizing rewards, an organization communicates the extent to which it values and cares for its employees (Tessema, Ready & Embaye, 2013). Hendricks & Matsiliza (2015) assert that in terms of results-based management (RBM), the employees get rewarded for outstanding performance, with the assessment of what constitutes such performance focusing on outcomes rather than on processes.

Regarding performance rewards, Aguinis (2011) describes them as tangible and intangible returns, the tangible returns including cash compensation and other benefits. The cash compensation constitutes an additional reward for outstanding work aimed at achieving the organization's goals, and the benefits are linked to employment rather than performance meaning that organisations are harvesting positives from dedicated and may be described as an indirect form of remuneration that is intended mainly to improve the standard of living of employees (Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014).

Intangible returns include praise for doing the given task exceptionally well. The literature indicates that giving them money is not the only way of motivating employees to perform well in their tasks (Tessema, Ready & Embaye, 2013; Ammons & Roenigk, 2015). Many scholars hold the view that intangible returns motivate employees to improve performance (Sturman & Ford, 2011; Njanja, Mania, Kibet and Njangi, 2013; Aguinis, 2011). Tessema, Ready & Embaye (2013) list eleven ways of recognizing employees' outstanding performances, namely letters; postcards; items like expensive gold watches which might serve as souvenirs; a dinner with the managers and the supervisor; a picture displayed in prominent place; having a room or hallway

named after the employee; posting the employee's name on the organization's notice board; a paid holiday trip with the family; a certificate; a coffee card; or a candy bar. It is clear that rewarding performance in either a tangible or an intangible form can assist in motivating employees to get their work done efficiently. What can be gleaned from the various views about rewarding performance is that bonuses are not the only way of showing appreciation of the good performance. The rewards may be intended to improve the quality of life of those employees who excel, as well as their performance.

This section has discussed stages of the Performance Management process. It has highlighted the importance of the supervisors' meeting with their subordinate to set performance goals, expectations, and objectives. It is during these meetings that the objectives are clarified and simplified for better understanding. The section stresses the importance giving constructive feedback in these regular meetings so as to maintain a constant level of acceptable performance throughout the performance cycle. Regular meetings also assist the supervisor and the employee to identify strengths and weaknesses. Outstanding performance ought to be recognized and rewarded. This section has discussed stages of Performance Management and the next section will discuss Performance Management in South Africa.

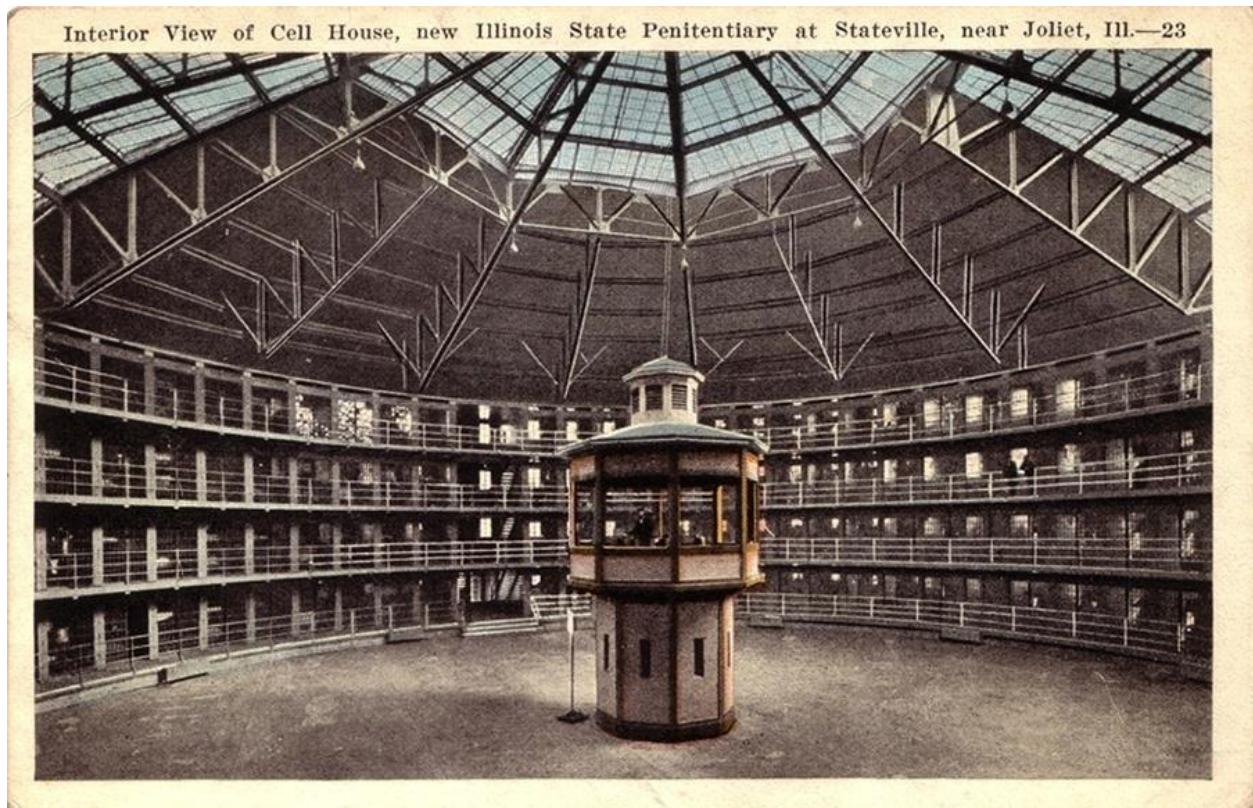
2.8 Theories underpinning Performance Management

The preceding section discussed the Performance Management process and this section will discuss the theories that underpin Performance Management, in particular, the metaphor of the panopticon and the theory of goal setting.

2.8.1 The Panopticon

This study draws on Foucault's embroidery of Bentham's Panopticon metaphor (opticon - that which sees; pan - everything) to make the argument that knowledge is always a form of power, that it can be gained from power, and that it is forever connected to power (Foucault, 1977).

Figure 2.2: The Panopticon structure in Illinois State Penitentiary



Source: Foucault (1977)

The Panopticon was an architectural figure designed by Jeremy Bentham (Foucault, 1977). In the instance illustrated in the above figure, the design of the building allows the inmates to be watched by a supervisor who stays at the centre of the tower. His positioning in the centre allows him to see what the inmates are doing in their single cells, but they cannot see him. The knowledge that they are being watched at all times make them regulate their behaviour and comply with the rules (Foucault, 1977).

Foucault's emphasis on knowledge as a powerful tool to modify one's behaviour is especially useful to this study's analysis, as it allows one to reason how thorough knowledge of the EPMDS a supervisor can assist to change the attitudes of employees towards their jobs, and therefore their behaviour. Foucault (1977) claims that power is everywhere, not because it embraces

everything, but because it comes from everywhere. The EPMDS as a tool can act as a watchdog over employees by clearly articulating what employees need to do and instilling in them a sense that their actions are always monitored by a panoptic supervisor whom they cannot see and interact with on daily basis. They sense that they must always show good behaviour because the supervisor is always watching over them. The lack of training on the EPMDS and regular meetings with employees can make employees fear the use of the EPMDS as a punitive tool if they fail to act as expected. The EPMDS can be punitive in the sense that during summative assessment there will be no financial rewards for and recognition of workers whose performance scores are below the minimum thresholds. The employees do not see the EPMDS as a developmental tool to nurture and develop their abilities and talents (Department of Public Service and Administration, 2007). To this end, Foucault's conceptualization of power explains how power can be utilized to alter the operations in the organization, modify employees' behaviour and mind set, and instill a sense of responsibility and accountability in them. Foucault describes panopticism as a 'powerful and sophisticated internalized coercion, which is achieved through constant observation of prisoners, in a single cell, where there is no interaction and communication ... panopticism can act as a control mechanism' (Foucault, 1977).

There are many studies that refer to schools and other public organizations as panoptic and substantiate their claims by providing a number of observations (Perryman, 2006). The theory is more of an ideal model of power than about how organizations function in the daily execution of their work (Gallagher, 2010). It models one possibility for the power relations between supervisors and subordinates. The supervisors set clear rules and codes of behavior for the subordinates in the organization and the subordinates are expected to comply with the rules and behave accordingly. The supervisors know what the subordinates are doing and what they should be doing because they are strategically placed in the central tower, but the subordinates are not aware of what the supervisors are doing because the supervisors are invisible to the inmates in the cells (Foucault, 1977).

The ultimate objective of the panopticon in the case of the prison is to prevent the captives from committing crimes or, in society at large, to dissuade members of the community from doing things which might lead to their imprisonment. Goyer (2005) asserts, in a business context, that monitoring enables employers to observe employees' behavior. The use of monitoring as a panopticon or a panoptic devise is to instill a sense of self-discipline into people in order to

increase their productivity. It permits organizations to observe their employees' work routines (Miliken, 2012). Goyer (2005) claims that many employers argue that workplace monitoring, such as video surveillance and electronic entry systems, enables them to safeguard their employees not only from intruders but also from themselves, to protect their assets, and to improve the quantity and quality of their products and services. Roseblant, Kneese & Boyd (2014) maintain that the cameras can also act as safeguards against burglary; locate customer movements for analytics purposes; watch employee behaviour, and pinpoint an area in the store that needs to be tidied up. Macnish (2011) holds the view that employers watch their employees either to prevent theft or to ensure that they are working to their maximum ability or to monitor customer spending patterns and thus to improve efficiency and sales. Roseblant, Kneese & Boyd (2014) hold the view that surveillance is utilised to increase efficiency, to measure productivity, to decrease risk, to prevent workers from slowing or disrupting the modes of production, to root out productivity losses that stem from internet misapplication, to protect trade secrets from being communicated, and to increase profits. Ndahinda & Bosman (2014) hold the view that surveillance assists in increasing the efficiency of employees and in coercing them into behaving appropriately. Sherman (2014) makes the assertion that surveillance is efficient because it monitors employees regardless of whether or not a human monitor is actually watching them, and because the surveillance mechanisms are reiterative: employees never know whether they are being observed or not, and thus must always act as if they are being monitored.

2.8.2 The limitations of the panopticon theory

The application of the panopticon theory to the study of public sector human resources management is not without flaws. Consequently, many criticisms have been leveled against it. Ndahinda & Bosman (2014) argue that the panopticon represents an institution which monitors people, and controls and disciplines them, and its intended outcome is to make individuals obey and comply. Similarly, Reeves (2003) asserts that such surveillance of individuals reduces their privacy and integrity. Another criticism is enunciated by Miliken (2012), who holds the view that surveillance and monitoring compromise one's privacy, stress people, make them sick and increase absenteeism that monitored individuals display low morale and that such surveillance has a negative effect on productivity. Panopticism compares employees with prisoners who are always visible and are subjected to the observation of the supervisor (Sheridan, 1977).

This view is supported by Macnish (2011), who writes that surveillance poses a threat to privacy; limits the opportunity to present oneself in the manner of one's own choosing; may perpetuate stereotyping if surveillance mainly targets a particular race or a particular group in the society; can be used as a symbol of authority; and encourages oppression, where the surveillant gains power over the one who is monitored through surveillance to collect data that the person monitored would rather keep confidential. Goyer (2005) argues that contemporary democratic governments seek the permission of courts to invade the privacy of their citizens, while modern companies can violate their employees' privacies daily without any oversight; and that workplace monitoring affects the stress levels of employees and their morale. Roseblant, Kneese & Boyd (2014) assert that direct and active electronic monitoring can develop resistance from those who are thus monitored.

Panopticon theory is significant to the study because the behaviours and attitudes towards their tasks of employees who work for the DAC-KZN are closely monitored and observed by supervisors. The supervisor keeps a record of performance of all supervisees. The supervisees are expected to comply with, to exhibit good behavior, to perform as dictated in the job descriptions, to observe protocol, and to conform to the work ethic of the Department.

Although these criticisms are significant, the application of the panopticon theory as a heuristic tool for public sector human resources scholars has persisted (Goyer, 2005; Sherman, 2014; Ndahinda & Bosmans, 2014; Roseblant, Kneese & Boyd, 2014). This study, however, has adopted the goal-setting theory to bring a different but complementary framework to bear in better understanding Performance Management at the Department of Arts and Culture in KwaZulu-Natal.

2.9 The goal-setting theory

The goal-setting theory will be used as the analytic lens in this study. This study draws on the work of Locke & Latham (2002) to make the argument that there is an important relationship between goals and performance (Lunenburg, 2011). Locke & Latham's (2002) emphasis on the relationship between goals and performance is especially useful in this study's analysis, as it provides the employees and supervisors of the department with an opportunity to set challenging yet attainable goals during planning performance phase. To this end, Locke & Latham's (2002) conceptualization of a goal is productive for grasping how under the right conditions, goal

setting can be a powerful technique for motivating the employees of the organization (Lunenburg, 2011). Locke & Latham's (2002) work in connection with task performance is also of value for showing that goals direct attention and action, and that challenging goal mobilize energy and lead to the exertion of greater and more persistent effort (Lunenburg, 2011).

Setting goals has become such a common practice that the majority of human beings have come to accept it. Goal-setting is about a willingness to improve an existing situation. It is about doing things differently. Goal-setting influences behaviour in four different ways: goals direct attention to what is most important, they prompt us into action, they increase our persistence, and they direct strategies and action plans (van Dyk, Nel & Haasbroek, 2004). Goal-setting has many benefits in life because goals motivate people to complete tasks and improve aspects of their lives (Polson, 2013).

Goals drive human beings' actions, and without a goal, it is argued, an individual can become directionless and clueless. Locke & Latham (2002) argue that goals refer to future valued outcomes. A goal is an objective, a standard, an aim of some action, or a level of performance or proficiency (Polson, 2013). Lunenburg (2011) believes that a goal may be defined simply as what the individual is consciously trying to do and that there is a strong relationship between goals and performance.

Figure 2.3: Function of a goal



Source: Researcher's own work (2016)

Kroth (2007) argues that there are different sorts of goals. There are promotion goals that are related to growth, advancement, and accomplishments, and prevention goals that are related to security, responsibility, and safety (Kroth, 2007). The following principles relate to goal-setting theory: goal specificity, goal difficulty, the acceptance of goals, and feedback on the attainment of goals, as suggested by Locke & Latham (2002).

The next section of this thesis will look at the principles of goal-setting theory.

2.9.1 Goal specificity

Locke & Latham (2002) assert that when goals are specific and are set beyond what an individual can already attain, this leads to a higher level of task performance than do easy goals or vague, abstract goals like 'do one's best'. Grobler, Warnich, Carell, Elbert & Halfieldt (2006) argue that job performance can be improved through goal-setting when individuals are given measurable goals rather than vague performance standards. Swanepoel, Erasmus, & Schenk (2008) argue that specific goals function as strong motivators because they tell the individual what needs to be done and how much effort is likely to be required in the process.

Ordonez, Schweitzer, Galinsky & Bazerman (2009) argue that specific goals provide clear, unambiguous, and objective means of evaluating performance. A broad perspective has been adopted by Lunenburg (2011), who argues that members of an organization perform better when asked to meet specific high-performance goals. Asamu (2013) supports the idea that to increase performance, supervisors need to ensure that employees have specific and challenging goals which result in better performance than ambiguous goals. It is predicted that goals that are specific and moderately difficult will improve performance more than those that are vague and too difficult or too easy. According to Polson (2013), goals that are specific and challenging are more likely to improve performance than those which are vague and too difficult or too simple.

A study was conducted to investigate the comparative effects of specific goals and vague goals on a group of English First Language (EFL) students. The students were divided into two groups. The control group was given the instruction 'do your best' and 'work hard', whereas the experimental group was provided with clear and specific individual goals. The specific goal group performed better than the group with vague and ambiguous goals (Chang, 2012). Individuals will perform better if they are given and work towards a clear goal than if they are expected to perform without a specific objective in mind.

A survey conducted by Polson (2013) has shown that goals which are specific and measurable lead to greater success. Asamu (2013) argues that without a specific standard and clear feedback, the employee will not be able to recognize errors and then will not engage in behaviour changes that improve performance. Polson (2013) argues that goals must adhere to the 'SMAART' principle. This acronym reminds us that a successful goal needs to be Specific, Measurable, Aggressive, Achievable, Relevant and Timely (Polson, 2013).

2.9.2 Goal Difficulty

Locke & Latham (2002) argue that goals that are difficult to achieve are good motivators because they require one to attain more in order than before, if one is to experience the satisfaction related to goal achievement. Kroth (2007) asserts that goals that are difficult and specific lead to excellent performance, though the more the difficult the goals the more important it is to develop self-efficacy. Redmond (2016) asserts that goals that are too easy or too difficult negatively affect motivation and performance. Goals have to be realistic, attainable, and challenging. Kroth (2007) argues that people with high self-efficacy will set, diligently pursue, and contribute

significant effort to difficult goals. Goals should be set high enough to encourage good performance but low enough to be attainable (Redmond, 2016).

Lunenburg (2011) asserts that employees will work hard to reach challenging goals, but they will only do so when the goals are within their capabilities; and when goals are difficult to achieve, performance suffers because the employees reject the goals as unreasonable and unattainable. Polson (2013) asserts that goals need to be difficult and challenging and goes further to utilise the phrase ‘aggressive yet achievable’ to denote that goals should be difficult, but not so difficult that they are unattainable. Goals that are easy to achieve do not provide any kind of satisfaction.

2.9.3 Goal acceptance

Involving employees in creating their goals will go a long way to ensuring that the goals agreed upon are achieved. This view is supported by Nel (2011), who holds the view that it is important to have a performance planning session, where the supervisor agrees with the supervisee on the goals to be achieved in the performance cycle. The literature indicates that participation in setting one’s goal increases the chances of goal acceptance because one feels ownership and control of the goals (Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014). Locke & Latham (2002) argue that an individual employee needs to accept and understand the goals so that the entire effort will be dedicated to attaining the goals agreed upon. Accepting a goal is the first step in creating motivation (Locke & Latham, 2002). Kroth (2007) asserts that this process of dedicating all one’s efforts to pursuing goals that have been set and agreed upon is known as volition. Swanepoel, Erasmus, & Schenk (2008) assert that goal-setting by an individual for him- or herself or collectively by the individual and the supervisor will increase the likelihood that the individual will accept the goals as legitimate and be committed to achieving them, and that commitment is most likely to be present if the goals are made public, if the person has an internal locus of control, and when the goals are self-set rather than unilaterally assigned. This view is supported by Lunenburg (2011), who argues that a powerful method of obtaining acceptance is to allow the members of an organization to participate in the goal-setting process.

2.9.4 Feedback on goal attainment

When people are given a task to do, they expect to get feedback on how well they are performing it. According to Hattie & Timperley (2007: 84), feedback can be defined ‘as information by an agent regarding aspects of one’s performance or understanding’. Locke & Latham (2002) assert

that for goals to be effective, people need feedback that reveals their progress in relation to their goals. Feedback is basically important in attaining specific goals. It enables individuals to adjust their efforts and decide which goals to pursue and which to let go, at least temporarily. Recent evidence suggests that feedback affects goal persistence, disengagement, and goal change, and is necessary for goals to remain effective and for those who set them to retain commitment (Fishbach & Finkelstein, 2013; Redmond, 2016). Feedback has to be ongoing. Swanepoel, Erasmus & Schenk (2008) assert that individuals will perform much better if they receive continuous feedback on how well they are progressing towards the goal, because feedback provides information regarding the gap between what they did so far and what they wish to achieve. Feedback can be either positive or negative. According to Fishbach & Finkelstein (2013:100), positive feedback can be defined 'as feedback on accomplishment, strengths, and correct responses' and negative feedback can be defined as feedback on 'lack of accomplishment, weaknesses, and incorrect responses'. In the same vein, Shiang-Kwei (2011) notes that positive feedback enhances motivation, while negative feedback that emphasises deficiencies will lower the self-efficacy of learners. Williams (2011) argues that goals motivate people only when they have received positive rewards and feedback from reaching goals in the past. Shute (2007) asserts that feedback can be in the form of either verification or elaboration. Shute (2007) argues that feedback elaboration addresses the topic, addresses responses, discusses errors, provides worked examples and give gentle guidance, while verification emphasises the correctness or incorrectness of performance. Lunenburg (2011) holds the view that feedback assists in two ways: it helps people to determine how well they are doing and helps them to determine the nature of the adjustments to their performance that are required if they are to improve. Feedback is information about how we are doing in our efforts to reach a goal (Wiggins, 2012). Feedback should be goal-referenced, ongoing, consistent and timely (Wiggins, 2012). Recent findings reveal that in-the-moment feedback - as opposed to formal reviews -improves performance (Loew, 2015). Feedback can be offered either informally or formally to the employees. Performance monitoring assists in achieving set objectives as it informs supervisors whether progress has been made or there are lacunae that require attention. This implies that for the employees of the DAC to remain motivated, they require feedback about their performance in their current job because feedback provides insight about strengths and weaknesses. The

employees require knowing where they have excelled and areas which require further attention. Supervisors should be willing to provide such feedback so that employees will develop.

2.10 The application of goal-setting theory in the workplace.

Goal-setting theory assists organizations in conceptualizing what they are expected to achieve in a given period. Figure 2.4 shows how goal-setting theory is implemented in an organization.

Figure 2.4: The application of goal-setting theory in a workplace



Source: Redmond, (2016)

2.10.1 Including employees in goal-setting

The process of goal-setting requires the participation of both the employee and the supervisor, who need to meet and set the objectives together. Cinton & Flaniken (2014) claim that the supervisor and subordinate work together to define goals and performance measurements for the subordinate. Redmond (2016) holds the view that the setting of goals is not an individual effort,

but requires the indispensable cooperation of employees and supervisors. Cinton & Flaniken (2014) claim that the supervisor and subordinate work together to define goals and performance measurements for the subordinate. Kaplan & Norton (2001) claim that workers who comprehend their individual goals and their relationship with organisational goals become more engaged with their work.

2.10.2 Tying the goals to the work unit

It is significant that the goals and expectations of the unit should be understood by all employees working in the unit. This is useful when the supervisor and employees discuss and decide on the goals to be achieved during the current performance cycle. Redmond (2016) claims that this is methodically aligning employees' goals to organizational goals to ensure that everyone is clear about what they are doing and why it is beneficial to the organization. This stage ensures that the goals of the unit in the organization match the goals of employees within the organization. According to Kaplan & Norton (2001), an organization that closely tied its goals across its work units enjoyed improved levels of financial success. It is important that the goals of the organization should be cascaded down to the work units because the units' achievements affect the achievement of the organization's goals.

2.10.3 Setting specific goals

Goals that are specific and understandable are easier to achieve than implicit and vague goals. Locke & Latham (2002) claim that explicit goals lead to better performance by employees than do ambiguous or abstract goals. Commenting on specific goals, Redmond (2016) claims that the specificity and measurability of goals afford an external referent (such as time, space, increment, etc.) to measure progress, whereas vague goals, like 'do better', are unclear and do not provide an impetus to achieve them. According to Lunenburg (2011), employees of an organization perform at higher levels when they are given high specific goal to attain. This denotes that a goal must be specific and measurable.

2.10.4 The supervisor setting his/her own goals

It would be simpler if the employees knew the goals of the supervisor as the person who offers mentoring and coaching to the employees. As the employees design goals, they need to be aligned with his supervisor's goal. Pulakos (2004) asserts that the most effective manner of doing this is to find a categorizing of goals where each level supports the goals directly relevant

to the next level, eventually working toward the organization's strategic direction and critical priorities (Pulakos, 2004). There is evidence to suggest that team goals as opposed to individual goals produce maximum productivity (Lunenburg, 2011).

2.10.5 Holding performance meetings

Performance meetings assist employees to understand the goals and expectations of the unit and they further assist in checking the progress made. Armstrong (2006) claims that reviews provide an extra channel of communication. Ying (2012) holds the view that performance review consists of a number of activities that include observing, recording efforts and accomplishments, providing feedback, coaching and counseling employees. As Performance Management is a process that runs throughout the year this means that frequent meetings should be held to assess progress and correct unsatisfactory performance. According to Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014) managers should make use of diaries to document observable behaviour, which will serve as an evidence of observable behaviour during performance appraisal meetings.

2.10.6 Ongoing feedback and coaching

Feedback is an important ingredient required in the pursuit of goals. Fishbach & Finkelstein (2013) assert that feedback can assist in motivating a person to pursue goals, to stop working towards goals, and to adjust goals. Feedback can be either positive or negative. Regular meetings with employees assist them to focus on relevant areas of their work. Redmond (2016) points out that when a person or teams can concentrate on behaviours that will accomplish a goal; they also divert attention away from behaviours that will not achieve the goal.

2.10.7 Aligning reward systems with results

Employees are encouraged to perform better if they know what is in store for them should they achieve the results. Cinton & Flaniken (2014) assert that greater rewards should be linked to better job performance because this inspires employees to perform. According to Tessema, Ready & Embaye (2013), recognizing good performance may include verbal and written praise or praising an individual or team for the good work done in a formal meeting of the directorate. According to Tessema, Ready & Embaye (2013), it is productive to align recognition to achievement and business-related activities. This means that employees who have performed beyond expectations need to be rewarded by their organization. Supervisors should assist

employees who perform well; by writing motivations to solicit rewards and bonuses for them from the relevant structures of the organization so that these employees will remain motivated. When its employees are motivated, the organization benefits.

2.11 The importance of setting goals

Setting goals assists individuals to stay focussed and to work diligently to achieve the goals. Fishbach & Finkelstein (2013) assert that setting specific goals focusses individuals' attention. Lacking a specific goals, employees' attention may be dissipated across too many possible goals. Polson (2013) also holds the view that goal-setting is a very positive strategy, because it stimulates people to complete tasks and improve in areas of lives for years. Goal-setting helps people to meet their personal and business goals (Ganta, 2014). Redmond (2016) maintains that goal setting assists people to improve their performance and improve their effectiveness, and enables supervisors to clarify their workers' roles and expectations, to develop their careers and to create opportunities for them to exercise responsibility and thus to mature. Goal-setting helps a supervisor to design rewards that match workers' requirements (Rounok & Parvin, 2011).

2.12 The limitations of goal setting theory

Sometimes setting goals may constrain one's freedom by inducing one to focus only on achieving the set goals and to ignore other dimension of life, like assisting others to perform their tasks, because of a reluctance to waste time and not complete one's work done on time as specified. Ordonez, Schweitzer, Galinsky & Bazerman (2009) argue that goal-setting may have destructive and distressing effects because it may cause people to concentrate on their goals and disregard other important features of their work. The existence of specific goals can cause people to ignore the scope of the desired performance and aspects of it that were not specified during the goal-setting; the existence of goals may lead people to focus shortsightedly on short-term benefits and not recognise the probably distressing long-term effects on the organization. Setting ambitious goals initially may be damaging to the employee and the organization, and attempting to achieve goals that overextend employees could have serious consequences. Employees may begin to take unjustified risks, they may begin to indulge in unethical behaviour, they may be psychologically damaged by their failure to achieve their goals, they may stop learning on the job and stop cooperating with other workers, and they may develop an unhealthy habit of competing with other workers, to the detriment of the organization as a whole (Ordonez, Schweitzer, Galinsky & Bazerman, 2009).

Williams (2011) maintains that there are mental consequences to not achieving goals and asserts that goals that are too ambitious may create expectations that are far removed from everyday reality. They may require people to develop new proficiencies, some of which may be beyond their existing capabilities and do not take into account the arbitrary forces of chance that may impede the achievement of the goals.

Arshoff *et al* (2013) list the weaknesses of goal-setting as follows: it may cause burn-out in employees; it may diminish self-confidence; it may cause workers to become withdrawn from the organization; it may be distressing and damaging to workers, and it may unsettle the uneasy balance between work and the veryday life situation. Latham (2014) describes goal-setting as a cognitive theory that ignores the subconscious. Setting individual goals is important, but the manner in which one pursues goals should not be to the detriment of other aspects of life. A balance needs to be maintained between work life and social life so that an employee may be a balanced being. Balancing work time and social time requires advanced organisation on the part of the employee.

Goal-setting theory is relevant to this study because it teaches that employees cannot work diligently if they do not know their goals; hence the importance of performance planning meetings in which supervisors clarify expectations of their subordinates and jointly with them set the goals that they are required to achieve. The goal-setting theory also assists in making the point that the goals that are set should be specific, measurable, achievable, realistic and have time frames. Goals improve performance and efficacy. This means that organizations should ensure that supervisors convene and conduct performance planning meetings in which employees and supervisors jointly set the goals and objectives to be achieved during the performance cycle. As a way of ensuring that such meetings occurred, senior management may ask for schedules and minutes for such meetings.

Summary

The purpose of this chapter was to discuss Performance Management and performance appraisal as two complementary processes which deal with setting and reviewing goals. The process of Performance Management involves planning, monitoring, reviewing and rewarding good performance. During performance planning, it is important that employees are fully involved in setting goals so that they will own the goals and strive to achieve them. Performance

Management is informed by theoretical frameworks and this study has adopted the panopticon metaphor and goal setting theory for that purpose. The panopticon metaphor is mainly about monitoring performance continuously without being seen and it is a system of domination and control, while goal-setting theory promotes the harmonious working relationship between employees and supervisors in setting performance expectations.

CHAPTER THREE: CONTEXTUALIZING PERFORMANCE MANAGEMENT IN SOUTH AFRICA

Introduction

The purpose of this study is to analyze the implementation of the Employee Performance Management and Development System (EPMDS) in the Department of Arts and Culture (DAC) in KwaZulu-Natal. The major objective of this chapter is to discuss the principles underpinning performance and development systems in South Africa. Then the legislative frameworks that are pertinent to Performance Management in South Africa are discussed. The chapter concludes by discussing the implementation of Performance Management as well as the challenges faced in its implementation in the public sector, paying particular attention to the Integrated Quality Management System (IQMS).

3.1 Principles underpinning Performance Management and development systems in South Africa

Performance Management and development systems in the public sphere in South Africa are underpinned by three principles, namely that they should be consultative, supportive and non-discriminatory (Department of Public Service and Administration, 2007).

3.1.1 Consultative

The process of Performance Management in an organization involves two important stakeholders, namely the supervisor and the subordinate. Both stakeholders render services in the organization. It is assumed that one cannot be successful in delivering efficient services without the contribution of the other. Good collaboration between employees and their supervisors enhances the provision of efficient services to stakeholders. This implies that employees on different levels of an organization must be apprised of the importance of effective consultation if the organizational goals are to be achieved.

3.1.2 Supportive

Performance Management supports individual employees in their attempts to move from one level of an organization to another by enhancing their knowledge and skills. One of the objectives of Performance Management is to develop and manage employees so that they will be able to contribute to the achievement of organizational goals (Department of Public Service and Administration, 2016). One benefit of developing employees is that their current work

performance and productivity are improved. Supervisors should assist employees to establish challenging and realistic objectives, capacitate employees to execute their duties, conduct performance reviews, and give direction to employees about their performance (Public Service Commission, 2007). This means that supervisors need to understand that their primary responsibility in the organisation is to improve the capacities and technical abilities of their subordinates.

3.1.3 Non-discriminatory

Non-discrimination means not differentiating on grounds of gender, age, racial group, disability, etc. Supervisors by law are required to be bias-free when conducting Performance Management. The principle of non-discrimination entrenched in Performance Management excludes stereotyping of all kinds. This means that during the Performance Management process, fairness and impartiality need to be exercised at all times. McNaughtan (2013) argues that the principle of non-discrimination requires everyone to be treated in the same manner. According to Mossman (1995), the purposes of using non-discriminatory language is to promote accuracy in speech, to maintain professional integrity and responsibility, and to guarantee equality in the workplace. This means that the treatment of employees should be the same for all and should ensure that respect for human rights prevails. The non-discriminatory practice has to do with upholding the values of human rights and respecting individual dignity as enshrined in the Constitution of the Republic of South Africa.

The principles that underpin Performance Management systems in South Africa having been established, the next section discusses the legislative frameworks that are pertinent to Performance Management in South Africa.

3.2 The policy and legislative frameworks pertinent to Performance Management in South Africa

In order to place this study in its legal and policy context, various pieces of legislation which promote the implementation of Performance Management in public sector institutions will be discussed. The policies and legislation which oblige public sector organizations to implement Performance Management are the local Government: Municipal Structures Act, 117 of 1998, the Local Government: Municipal Finance Management Act, 56 of 2003 (MFMA), the Municipal Systems Act 32 of 2000, Public Finance Management Act of 1999, Municipal Performance Regulations for Municipal Managers, Municipal Planning and Performance Management Regulations and Public service regulations of 2016. There are also White Papers that are relevant to Performance Management , which are the White Paper on Transforming Public Service Delivery (WPTPSD) of 1998 and the White Paper on Human Resource Management(WPHRM) of 1997.

3.2.1 The Local Government: Municipal Structures Act, 117 of 1998

The main purpose of the Local Government: Municipal Structures Act, 117 of 1998 is to instill the implementation of Performance Management system in local government. Section 44 (3) of the local Government: Municipal Structures Act, 117 of 1998 obliges executive committee of a municipality to develop standards against which the implementation of policies and programmes can be assessed. The assessment of progress should be based on key performance indicators that apply across municipalities. The rationale behind assessing progress against key performance indicators is to improve the competence, efficiency, and effectiveness of the municipality in performing the following services: maintaining good credit control and debt collection, enforcing municipal by-laws, managing municipal administration according to the directives of the municipal council, overseeing the sustainable provision of services, and reporting on an annual basis on the participation of communities in matters of the municipality (RSA, 1998).

The legislation is related to this study because it deals with the Performance Management of personnel within a municipality, and this study focuses on the performance of employees in the public sector, which includes municipalities. The services that are required of municipalities are executed by personnel within the municipality. This suggests that the objectives of the personnel

should be aligned to those of the municipality. The performance of a municipality is directly related to the effectiveness and efficiency of its personnel in carrying out their daily duties.

3.2.2 The Local Government: Municipal Finance Management Act, 56 of 2003

The Local Government: Municipal Finance Management Act (MFMA) regulates how Performance Management should be managed in local government. The MFMA issues directives to municipalities to hold annual budget meetings in which the budget of the municipality is approved, to adopt a Service Delivery and Budget Implementation Plan (SDBIP) with service delivery targets and performance indicators, and to compile an annual performance report in line with the content of the Municipal Systems Act (MSA, 2003).

Sections of the MSA which are relevant to Performance Management include section 16, sub-section 2, which requires the municipality's annual budget to be complemented by measurable performance objectives for revenue from each source and for each vote in the budget in the context of the Integrated Development Plan (IDP). Section 5, sub-section (1) mandates the mayor to ensure that the performance agreements of Section 57 employees comply with the requirements of the MSA to encourage sound financial management and are linked to the measurable performance objectives approved with the budget and included in the SDBIP. Section 72 of the MFMA delegates authority to the accounting officer of a municipality to conduct half-yearly performance assessments of every organization under the ambit of the municipality and to scrutinize the accounts of such organizations.

By law, the municipality and municipal organizations are expected to form an audit committee to assist and support the municipal council, the accounting officer, and the management and employees of the municipal entity on matters related to Performance Management and performance assessment (RSA, 1998).

The MFMA has a bearing on my study because it deals with the management of financial resources in local government. It is the responsibility of an accounting officer to manage the finances of a municipality, and the performance of the accounting officer will be assessed against the standards for the management of the assigned financial resources. Performance Management in local government encompasses both organizational and individual performance. The organizational objectives are at a strategic level but they are operationalized at the individual

level. This implies that individual performance has an impact on organizational performance. This implies that when an accounting officer fails in his duties, the municipality will fail.

3.2.3 The Local Government: Municipal Systems Act 32 of 2000

The objective of the Municipal Systems Act 32 of 2000 (MSA) is to encourage municipalities to develop Performance Management systems that are within the resources of the municipalities and to stimulate a culture of Performance Management among its political structures, political office bearers, and councillors, and in its administration; and to manage its affairs in an economical, effective, efficient and accountable manner (RSA, 2000).

The MSA also recommends that the executive committee or executive mayor of a municipality, or, if the municipality does not have an executive committee or an executive mayor, a committee of councillors chosen by the municipal council should administer the development of a Performance Management system; allocate responsibility in this regard to the municipal manager; and submit the proposed system to the municipal council for adoption. The MSA provides for the monitoring and review of the Performance Management system, and it requires that a municipality establish key performance indicators as yardsticks for measuring performance according to priorities and objectives as reflected in the IDP; develop specific and achievable goals that are related to the developmental priorities of the municipality; review and assess performance on an annual basis; strategize on how to effect improvements on areas where performance has been unsatisfactory; and develop a culture of regular reporting to the council, politicians and officials of the municipality (RSA, 2000).

This MSA is relevant to this study because it deals with the development of Performance Management system which capacitates employees to be effective in their professional careers within a unit, so that service delivery will be effective. It also deals with performance planning, performance monitoring, and review, and implementing strategies that might assist non-performing employees to perform well in their fields.

3.2.4 The Public Finance Management Act of 1999

The main aim of the Public Finance Management Act of 1999 (PFMA) is to regulate and manage the finances of government in provincial and national departments in order to ensure that the revenue, expenditure, and assets of government are managed efficiently and effectively

(Republic of South Africa, 1999). Chapter 5 of the Act deals with financial management at the level of a department. The PFMA stipulates that employees are responsible for the effective and efficient use of resources, for avoiding wasteful, irregular and unauthorised expenditure, and for safeguarding assets that are within their areas of responsibility.

The PFMA is relevant to the study because the performance of employees should be judged by its content. It stipulates that employees are expected to ensure that they perform activities that are in line with the operational plan of their units, to prevent units from committing to programmes that are not budgetted for. It is recommended that before utilising resources such as government vehicles and undertaking trips employees should be required to verify that a budget has been allocated to that specific project because if it is not so this may lead to unauthorised and wasteful expenditure, which the PFMA prohibits (RSA, 1999). As part of the EPMDs, employees should be trained on the provisions of this Act, which training does not currently occur in the majority of units in municipalities.

3.2.5 The White Paper on Transforming Public Service Delivery (WTPSD) of 1998

The major objective of the White Paper on Transforming Public Service Delivery (WTPSD) of 1998 is to transform the public sector so that it serves the communities which were previously disadvantaged by the former White regime (Department of Public Service and Administration, 1998). The WTPSD endeavours to present a new strategy to improve the delivery of public services that is based on systems, procedures, and the attitudes of public sector officials, which should involve putting people first. It demands that public servants perform their functions in accordance with eight principles, namely consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money. The eight principles are referred to as the Batho Pele principles. The Performance Management system must be based on and should give effect to the Batho Pele principles of improved service delivery. WTPSD is related to the study because it aims to develop human resources who can provide efficient and effective service to the public. The document is mainly about improved performance.

3.2.6 The White Paper on Human Resource Management of 1997

Chapter 5 of the White Paper on Human Resource Management of 1997 (WPHRM) discusses Performance Management in the public sector. The White Paper on Human Resource Management (WPHRM) encourages government department to establish Performance

Management systems. It encourages supervisors and employees to plan for Performance Management. It encourages stakeholders in Performance Management to clearly stipulate how performance will be monitored and how performance will be scrutinized for the purposes of rewards, training, and sanctions (Department of Public Service and Administration, 1997). This implies that if one employee has not achieved the agreed-upon objectives the organization suffers. Hence the significance of managing the performance of employees by assigning managers or supervisors to them. The WPHRM is based on the following five principles: results orientation, training and development, rewarding good performance, managing poor performance, and openness (which includes fairness and objectivity).

3.2.6.1 Results orientation

With regard to results orientation, the assessment of employees work should be based on the work plan. The work plan needs to be agreed upon by the employees and their supervisors. The work plan details the objectives set and the duration set for achieving them. The progress towards the achievement of the set objectives should be monitored regularly and remedial action effected where necessary.

3.2.6.2 Training and development

In terms of training and development, regular performance meetings in the form of coaching, counselling and mentoring might assist employees to develop where they are weak and display improved performance.

3.2.6.3 Rewarding good performance

Employees who perform exceptionally well need to be rewarded, as this inspires other workers to go the extra mile in performing their core duties. Acknowledging employees' positive contributions through praising them might motivate employees to do consistently better.

3.2.6.4 Managing poor performance

Employees who are performing below expectation need to be identified. It is the responsibility of the manager or supervisor to train, coach and mentor poor performers so that they may improve. The supervisor can recommend that employees attend developmental workshops, do career counselling, and be retrained. If an employee fails to perform as expected after interventions, further avenues may be considered.

3.2.6.5 Fairness and objectivity

The assessment of employees' performance should be based on specific standards. When assessing the performance of employees, guiding principles have to be set which are performance standards. The worker is then assessed against the standard, not as a person. This means that even employees who are perceived to be favourites of the supervisor will be evaluated against set standards.

The WPHRM is relevant to this study because it provides that the performance of the employees will be assessed on the basis of their work plans. It also determines that if employees are not performing well, training will be provided to correct and improve their performance. Employees that are performing well will be incentivised and rewarded accordingly so that they maintain consistency in their performance. It also provides that evaluation and the assessment of performance will be based on standards agreed upon during the drafting of the work plans.

3.2.7 Local Government: Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers, 2006

The major objective of these regulations is to seek to find a way in which the performance of municipal managers will be monitored, guided and enhanced. The regulations include the employment contracts of municipal managers and managers reporting to municipal managers. The employment contract consists of a job description, a salary package and other benefits, which might include a mobile phone, a medical aid scheme, leave, etc. The municipal managers and managers reporting to municipal managers are expected to sign a performance agreement within three months after they assume duty and within thirty days on an annual basis (Department of Provincial and Local Government, 2006).

The regulations are related to this study in the sense that they stipulate that employees must agree to participate in Performance Management. In terms of the Performance Management system, the employees in the organization are expected to sign performance agreements at the beginning of the performance cycle, which explicitly state the key results areas (KRA) of the employee. The appraisal of employees will be based on their key results areas and generic assessment factors (GAF).

3.2.8 The Local Government: Municipal Planning and Performance Management Regulations, 2001

Chapter 3 of the Local Government: Municipal Planning and Performance Management Regulations of 2001 provides for Performance Management. The rules contained in the Act instruct a municipality to establish a Performance Management system (Department of Provincial and Local Government, 2001). A municipality's performance system involves an outline that describes and denotes how the municipality's cycle and procedures of performance planning, monitoring, measurement, review, reporting, and improvement will be directed, organised and managed, including determining the responsibilities of the various stakeholders.

The Performance Management system developed by a municipality needs to be aligned with the requirements set out in the Act; needs to clearly show how it should be conducted and managed from the planning phase to the performance and reporting phase; needs to explain the roles and responsibilities of each stakeholder, including the local community, in the functioning of the system; needs to simplify the procedures for implementing the system within the framework of the integrated development planning process; needs to regulate the frequency of reporting and the line of accountability for performance; and needs to provide for the procedure by which the system is linked to the municipality's IDP (Department of Provincial and Local Government, 2001). During the planning phase, the municipality is expected to set key performance indicators and standards for monitoring, measuring and reviewing performance.

3.2.8.1 The setting of key performance indicators

The municipality is expected to set key performance indicators, including the input indicators, output indicators and outcome indicators of their employees. A key performance indicator is required to meet the following conditions: it must be measurable, relevant, unbiased and detailed. Municipalities are encouraged to involve their employees in drafting the key performance indicators so that they will have ownership of them (Department of Provincial and Local Government, 2001).

3.2.8.2 The monitoring, measurement, and review of performance

One of the core duties of a municipality is to monitor the performance of its employee so as to be informed of whether the performance indicators and performance targets set are being achieved or not. A municipality must, after communicating with employees through their representatives, develop and implement mechanisms, systems and procedures for the monitoring, measurement, and review of performance in respect of the key performance indicators and performance targets set by it. The mechanisms, systems, and procedures used during monitoring must make means to report to the municipal council twice a year, be able to identify signs of under performance and recommend remedial action where below-par performance has been identified. Performance Management needs to include the evaluation of expenses, and of the resources and time utilized in producing outputs. It must be able to analyze the strengths; weaknesses, opportunities, and threats (SWOT) of the employees in an attempt to meet the key performance indicators and targets. It must be able to review performance and allow the council to take part in the review process.

The regulations are related to this study because they make mention of the stages of Performance Management , which are planning, monitoring and review. The regulations also set out what should be happening during each stage of Performance Management , which is what this study is all about. The roles of the different stakeholders (the supervisors and supervisees) in Performance Management are clearly stated. The regulations provide the system of linking objectives to IDPs, as the performance of the individual employees in the public sector relates to the strategic objectives of the department.

3.2.9 The Public Service Regulations of 2016

The key principles underpinning effective Performance Management are set out in the Public Service Regulations of 2016. Part 5 requires that the head of department or person who has executive authority approves and implements a Performance Management system for employees. The head of the department has the authority to approve and execute Performance Management for members of the Senior Management Services (SMS). The head of the department is expected to approve departmental Performance Management a year before the performance cycle of the current financial year is conducted. If there are reasons why the Performance Management

system cannot be submitted, a memorandum should be submitted to the head of the department seeking such permission to delay the submission.

Section 72 of the regulations require that an employee append his signature on a performance agreement or contract within the first quarter of his appointment and thereafter within a period of two months of the beginning of the financial year. The signed agreement may be reviewed from time to time. The performance agreement or contract comprises of the following: a personnel number; a job title; a well-crafted job description which details the key performance areas and competency requirements; a work plan with output, activity and resources requirements; and a personal development programme (PDP) which identifies employee's competency and developmental needs and strategies to improve these (Department of Public Service and Administration, 2016).

Government departments are encouraged to develop Performance Management systems that could update the PDPs of their employees. Molofo (2012) asserts that the intention of a PDP is to identify, prioritise, and implement the training needs in departments and municipalities. Molofo (2012) further argues that a PDP must be able to identify expected results and the periods in the form of time frames in which those results should be achieved; recommend training and development activities; make recommendations about training organisations and the manner in which acquired skill and competencies would be put into practice in the organization; and assign a mentor.

3.3 Performance Management in South Africa

With the advent of democracy in South Africa, there was a need to develop human resource as ineptitudes surfaced in human resources management and development. According to Mapesela & Strydom (2004:01), the shortcomings that exist in the current Performance Management and employee development in higher education institutions in South Africa include, inter alia, the ever-changing higher education and training setting, apartheid legacy that reveals itself in institutions of higher learning, the failure of institutions to address the genuine needs of academic staff, maintain their interest, and support their academic roles while looking at their diverse roles in the knowledge economy properly. In some institutions where the research was conducted, the findings revealed that there were developmental problems, lack of management

capacity and insufficient rewards to encourage staff to improve performance (Mapesela & Strydom, 2004:05-06).

According to van der Waldt (2006:14), the key challenges facing the implementation of Performance Management include, inter alia: Lack of clarity on roles and responsibilities between categories of municipalities and between provincial and national government; red taping which hamper performance of public officials, prevalence of 'non-performance culture' in many public institutions as well as organizational factors.

3.4 Performance Management in the public sector: the integrated quality management system

According to Thobela & Mtapuri (2014), Performance Management in the education sector in South Africa was introduced as the integrated quality management system (IQMS) and was intended to develop educators by enhancing their capabilities and inculcating a culture of teaching and learning in the teaching fraternity. The IQMS's primary objective is to manage and develop the performance of school-based educators. Mosoge & Pilane (2014) argue that Performance Management is an aspect of accountability systems whereby teachers in schools are assisted by their immediate supervisors to attain the agreed-upon standards. The IQMS seeks to develop educators in areas where there are shortcomings.

The agreement to introduce the IQMS was reached in the Education Labour Relations Council (ELRC). The core function of the ELRC is to serve educators employed in terms of the Employment of Educators Act, No. 76 of 1998 (Education Labour Relations Council, 2014). The IQMS is the amalgamation of three programmes, namely developmental appraisal, Performance Management and whole-school evaluation (Department of Education, 2006). Resolution 8 of 2003 stated that the existing programmes on quality management needed to be integrated (Education Labour Relations Council, 2003). The purpose of development appraisal is to audit individual educators in a transparent manner with a view to determining their areas of strength and their weaknesses and to draw up programmes for their individual development (Education Labour Relations Council, 2003).

Nkonki & Mammen (2012) argue that the purpose of development appraisal was to determine the strong points as well as the weak points in the performance of educators, so as to inform their

in-service training (INSET). Studies that investigated Performance Management revealed that its purpose is to assess individual educators for salary progression, grade progression, the affirmation of appointments, rewards and incentives (Education Labour Relations Council, 2003; Nkonki & Mammen, 2012). The purpose of the whole-school evaluation is to evaluate the functionality of a school, as well as the quality of the teaching and learning (Education Labour Relations Council, 2003). The establishment of the IQMS is in accordance with the Employment of Educators' Act, No. 76 of 1998, which mandated the Minister to determine performance standards for educators and the evaluation of such performance (RSA, 1998).

The integration of the three programmes means that their objectives have been combined with the intention of improving and enhancing the education system. The objectives of IQMS are to create a conducive environment for teacher development; to monitor school functionality; to assess educators' performance; to identify the specific needs of educators for support, and to stimulate and encourage accountability (Nkonki & Mammen, 2012; Department of Education, 2014).

Carefully examining the intentions of the IQMS, the researcher infers that there are purposes that are developmental in nature in terms of developing individual teachers and those that are directed to the institutional development and are chiefly about the effectiveness and efficiency of the organization. The purposes and goals of the IQMS have to do with both individual and organisational development in terms of accountability and professional development (Nkonki & Mammen, 2012).

The IQMS is related to this study because it deals with the development of educators who are employees of Department of Basic Education, and the EPMDS is also about improving the performance of employees in the public sector by ensuring that they are efficient and effective when discharging their duties and delivering services to the public. One condition for the confirmation of a permanent appointment in the public sector has an employee appraised in terms of the EPMDS, and the IQMS similarly assists in the affirmation of appointments in the education sector. The IQMS assists educators to gain incentives and rewards, and EPMDS scores also determine whether employees in the public sector get rewards or bonuses. This means that both the IQMS and the EPMDS are meant for the development of employees, be they in education or in the public sector.

3.4.1 Challenges facing the implementation of Performance Management and development in South Africa

Like all other programmes that are introduced, there are challenges that need to be addressed, because introducing a change is met with either resistance or conformity. The implementation of Performance Management in South Africa encountered and is still encountering some hurdles. A number of commissions have been established to investigate the difficulties encountered during the implementation of Performance Management in South Africa. The findings of the Baskin report in 2000 revealed that there had been little development of the state's Performance Management systems and little attention had been paid to training and development (Department of Public Service and Administration, 2008).

An investigation conducted by the Public Service Commission (2008) into the implementation of Performance Management in SA revealed that performance agreements (PA) were being finalised later than required; that the PAs submitted did not always meet the requirements stipulated in the PMDS; that some PAs did not include the name of the mediator and some contained no PDP; that there was no alignment of key results areas to departmental strategic plans; that Senior Management Services (SMS) were not willing to enter into PA as they considered PA to be an obstacle to service delivery. SMS members see PAs as punitive tools to get at them; PAs is not exploited for continuous management of performance and to provide feedback.

Seotlela & Miruka (2014) maintain that the greatest risk to the success of the implementation of Performance Management's implementation is poor executive engagement. Performance Management with good intentions of developing and capacitating employees may fail if it does not have the support and blessing of senior management. A recent study suggests that if senior and line management does not show commitment to the implementation of Performance Management system, the employees will also not take it seriously (Seotlela & Miruka, 2014).

Lack of knowledge and skill can hamstring the implementation of Performance Management system. Seotlela & Miruka (2014) argue that weakness in a Performance Management system arises because it is poorly designed, or training on the system has not translated into organizational support for its implementation. Regular communication should be driven from the senior management offices and supported by the communication department using every

possible vehicle within the organization's communication infrastructure so that all employees become informed about Performance Management (Seotlela & Miruka, 2014).

The implementation of the IQMS has been beset by many challenges, which include among others the training period. According to van der Berg, Taylor, Gustaffson & Spaul (2011), short courses of the order of 3-5 days have little impact. Thobela & Mtapuri (2014) hold the view that the one day of training offered to educators and principals was not adequate, and as a result of some principals incorrectly utilised IQMS as a punitive tool by not recommending salary increments for their educators.

My observation at the DAC-KZN has revealed that the implementation of Performance Management is experiencing similar challenges. Firstly, little time is devoted to training employees about Performance Management, the training is mainly designed for employees who are on probation, and the course, which lasts for two to three days, is chiefly an explanation of systems in the public sector. Secondly, very few meetings are organised between employees and supervisors, which means that there is little coaching, and little regular feedback is offered to subordinates. Thirdly, employees are not assessed against clear standards, and the halo effect determines the allocation of scores to subordinates, with the result that employees who perform well, are not rewarded.

Summary

The main objective of this chapter was to discuss the principles that underpin Performance Management in South Africa. The legislation relevant to the implementation of Performance Management was discussed, noting that it clearly stipulates that employees in the public sector are expected to sign a performance contract with their employers at the beginning of each performance cycle. The IQMS was discussed as a tool that is intended to assist educators to develop in their careers. The chapter concluded by describing the challenges that bedevil the effective implementation of the IQMS.

CHAPTER FOUR: THE RESEARCH METHODOLOGY

Introduction

The aim of this chapter is to present the research design that was utilized to collect and analyze data used in this study. The chapter is organized as follows. First, it discusses the paradigm that was used in the study. Next, the sampling techniques are discussed, particularly probability and non-probability sampling. The chapter briefly discusses interviewing and the administration of questionnaires as techniques that were used to collect the data. Finally, the chapter concludes by giving an account of the ethical considerations taken into account in the study.

4.1 The research design

A research design is a strategic framework of action that serves as a bridge between research questions and the execution or implementation of attempts to answer them (Blance, 2006). According to Blanche (2006:34), research designs “are plans that guide the arrangement of conditions for the collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure”. McMillan & Schumacher (2006:166) and Mouton (2009) hold the view that a research design is a plan for selecting subjects, research sites, and data collection procedures to answer research questions. The term ‘research design’ refers to procedures that are followed when conducting research, which includes when, from whom, and under what conditions the data were collected (McMillan & Schumacher, 2006:30).

The kind of approach that is utilized in this study is the case study. Various scholars hold the view that a case is a programme, an event, an activity, or a set of individuals bounded in time and place (Cohen, Manion & Marrison, 2007; Martyn, 2007; McMillan & Schumacher, 2006). Creswell (2007) identifies three types of case studies: a single instrumental case study, collective or multiple case studies, and the intrinsic case study. The type that will be employed in this study is the single instrumental case study because it focuses on a problem or concern and then selects one confined case to illustrate the problem (Creswell, 2007). This case study focuses on the implementation of the EPMDS in the DAC-KZN. A case-study approach was chosen because it is strong in reality, it allows generalization from one case to another, recognizes the complexity and embeddedness of social truth, presents research in a publicly accessible form, contributes towards the ‘democratization’ of decision making, and allows the readers to judge the implications of the study themselves (Cohen, Manion & Marrison, 2007).

4.2 The paradigm

This study employed a pragmatic paradigm. Pragmatism is a deconstructive paradigm that supports the use of mixed methods in research and “focuses instead on ‘what works’ as the truth regarding the research questions under investigation” (Tashakorri & Teddlie, 2008). Pragmatism was employed since both quantitative and qualitative research can be accommodated in a pragmatic paradigm (Hall, 2012). Pragmatism is not committed to any one system of philosophy and or idea of reality. Pragmatists do not see the world as an absolute unity but think that truth is what works at the time (Cresswell, 2003). It is not based on the strict dualism between the mind and a reality completely independent of the mind. Pragmatist researchers look at the ‘what’ and ‘how’ of research and choose their methods on the basis of their intended consequences- where they want to go with it. Pragmatists agree that research always occurs in social, historical, political, and other contexts (Cresswell, 2003). Creswell (2003) argues that pragmatism opens the door to multiple methods, different world views, and different assumptions, as well as to different forms of data collection and analysis. Teddlie & Tashakorri (2010) maintain that methodological eclecticicism gives one the freedom to combine methods and choose the best tools for answering research questions. Pragmatism claims that knowledge arises from actions and situations. The fact of the matter is that pragmatists just accept other people’s theories without being aware of the fact that they’re doing so. The perceived world is a theoretical construct.

4.3 The research methodology

There are three types of research methodologies that are utilized by researchers to explore phenomena, namely quantitative methods, qualitative methods, and mixed methods. A mixed-methods design, which is the combination of both qualitative and quantitative research, was selected for this study. Table 4.1 below presents some of the differences between the quantitative and qualitative research designs used in this study.

Table 4.1: Some differences between quantitative and qualitative research designs.

	Quantitative studies	Qualitative studies
Approach to setting	Controlled settings Selected samples	Natural settings Whole context
Aims of the research	Quantitative descriptions Explanation and predictions	Thick descriptions Interpretive Understanding
Research strategy	Hypothetic-deductive Generalizing(nomothetic)	Inductive Contextualizing
Notion of objectivity	Natural science definition: maximum control over extraneous factors	Intersubjectivity: gaining trust and rapport in order to get as close as possible to the subjects; trustworthiness and credibility

Source: Adapted from Mouton (2009)

Table 4.1 identifies the settings in which quantitative and qualitative research designs might be applicable. The aims of the research in both research designs are explained. The research strategy that is applicable to quantitative and qualitative is explained and, finally, the notion of objectivity relevant to each research design is explained. It is significant to understand the differences between quantitative and qualitative designs because both research designs are going to be used in this study

This study employs a mixed method approach. Many alternative names have been assigned to the practice, such as ‘mixed methodology’, ‘multi-strategy research’, ‘integrated methods’, ‘multi-methods research’ and ‘combined research’ (Martyn, 2007). A mixed method study combines qualitative and quantitative techniques and data analysis in different phases of the research process (McMillan & Schumacher, 2006). Martyn (2007:107) asserts that the term ‘mixed methods’ applies to research that combines alternative approaches within a single research project. Mixed methods draw on different traditions with different underlying conventions. It offers the possibility of combining strengths of both qualitative and quantitative research and compensating for the weaknesses of each method (Johnson & Onwuegbuzie, 2004:18). Three types of mixed method forms are identified and briefly discussed in this study. They are the complementary, developmental and expansion methods (McMillan & Schumacher, 2006). Table 4.2 shows these three forms of the mixed method.

Table 4.2: Forms of mixed methods

Type	Purpose	Illustrative forms
Complementary	To elaborate, enhance, illustrate, and clarify the results of one method with that of another method.	Simultaneous forms
Developmental	To use the results of one method to develop or inform sampling or techniques for the second method	Sequential forms
Expansion	To extend the breadth and range of the results by using different programme components or questions	Sequential or parallel forms

Source: Adapted from Tashakkori & Teddie (1998)

Yeasmin (2012) points that by combining multiple observers, theories, methods and data sources, researchers can hope to overcome the intrinsic bias that comes from using single methods, single observers, and single theories.

Mixed methods were used because the authenticity of the findings is reinforced by utilizing both methods to study Performance Management. According to Tashakorri & Teddlie (2008), a mixed method is preferred because it provides the researcher with many design options which include a number of sequential and parallel plans. Using mixed method improves the accuracy of the findings (Martyn, 2007). Mixed methods were employed because they provided a complete description of Performance Management. Quantitative methods generate data of one kind (data that can be quantified) and qualitative methods generate data of another kind (opinions, feelings, values, ideas). Both kinds of data are real and true, the use of mixed methods will generate a complete picture of the phenomenon under study. It is a combination of both quantitative and qualitative methods. The rationale for defining qualitative and quantitative was to clarify how the quantitative and qualitative method is utilized. The following subsections discuss the quantitative and qualitative methods that were used in this study.

4.3.1 The quantitative method

Quantitative research is mainly about measuring phenomena rather asking for opinions, ideas, and views. White (2003:12) argues that quantitative research is based on what is called positivist philosophy, which assumes that there are social facts with a single objective reality which is separate from the feelings and beliefs of the individual. White (2003:12) argues that this objective reality can be explained, controlled, and predicted by natural (cause-effect) laws. Quantitative methods are employed in conducting a survey. (See section 4.7.2, which talks about surveys.). One of the strengths of the quantitative approach is that the findings may be generalizable, meaning that they may be transferable to a new and different situation.

4.3.2 The qualitative method

Qualitative research is situated in the world of the observer. It consists of a set of interpretive, material practices that make the world visible. Qualitative research involves an interpretive, naturalistic approach to the world. Qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them (Denzin & Lincoln, 2005). This definition affirms that a researcher needs to be physically

in the setting and talk, communicate and act within the context (Creswell, 2003). Qualitative research is about understanding the processes and the social and cultural contexts which shape various behavioral patterns (Wagner, Kawulich, & Garner, 2012).

Mouton (2009) asserts that qualitative research is distinguishable from quantitative research because the research is conducted in the natural setting of social actors. The qualitative method focuses on the process rather than the outcome. It emphasizes an actor's perspective. The primary goal is in-depth descriptions and understanding of actions and events; the concern is to understand social actions in their specific contexts rather than to attempt to generalize to some theoretical population. The research process is inductive in its approach, resulting in the generation of new hypotheses and theories; and finally, the qualitative researcher is seen as the "main instrument" in the research process (Mouton, 2009).

This study was conducted to discover how employees view the implementation of EPMDS in DAC- KZN. This method is subjective in nature because it involves studying reality in the context of people. The method attempts to understand reasons behind a particular behavior or action. A qualitative approach was employed (see section 4.71. which talks about interviews) because it is flexible, studies social meaning, studies phenomenon in its natural setting and provides in-depth data collection (Creswell, 2007).

4.4 Study site

The study was conducted in the offices of the DAC-KZN in Pietermaritzburg. The DAC-KZN consists of five chief directorates, namely Cultural Affairs, Cluster Management, Corporate Management, Human Resources Management and Development; and Library, Archives and Museum Services. Participants in the study were sampled from all five chief directorates in different bands of the Department so as to avoid biases.

4.5 The target population and sampling

A target population is a group of elements or cases, whether individuals, objects, or events, that conform to specific criteria and to which we intend to generalize the results of research. This group is also called the target group (McMillan & Schumacher, 2006). The employees of the DAC were the researcher's target population. The DAC-KZN consists of employees who are categorized according to different bands of the Department. For a presentation of the different

bands of the department see Table 4.3. The Department consists of four hundred and ninety-one (491) employees.

4.5.1 The sampling strategies

The study employed both non-probability and probability sampling. Non-probability sampling was used for the qualitative part of the study because it is cost-effective and convenient (Wagner, Kawulich, & Garner, 2012). Purposive sampling was employed, as shown in Table 4.3. Purposive sampling refers to the selection of a sample based on the researcher's own knowledge of the population; its elements and the nature of the research aims (Babbie, 1990). Respondents were chosen as follows from different levels of the department: levels 4-6 (2), levels 7-8 (2), levels 9-10 (1) and levels 11-16 (1). Stratified purposive sampling was chosen because it is used to identify specific cases for deep analysis (Roussouw, 2003). The DAC-KZN employees were in a position to have a deep and thorough knowledge of the EPMDS.

A stratified random sample was chosen for the quantitative part of this study because such sampling removes human bias from the sampling process (Du Plooy-Cilliers, Davis, & Bezuidenot, 2014). Respondents were selected from the different levels as follows: levels 4-6 (28), levels 7-8 (36), levels 9-10 (16), and levels 11-16 (8). Stratified random sampling divides the population into strata, as shown in Table 4.3 (Du Plooy-Cilliers, Davis, & Bezuidenot, 2014). This sampling design was chosen because it ensures greater representivity where a heterogeneous population contains small minorities, and it was necessary to ensure that these minorities were represented. The Department's organogram consists of various employees in different bands (see Table 4.3). Respondents were randomly selected from the different bands. The justification for using both probability and non-probability sampling in the study was that both were designed to provide a sample that could answer the research questions under investigation, and both were concerned with issues of generalizability to an external context or population (i.e., transferability or external validity) (Teddlie & Yu, 2007).

4.5.2 The sample size

McMillan & Schumacher (2006) describe the sample size as the number of subjects in the study. Table 4.3 shows the number of employees who participated in the study. Six (6) employees were interviewed. The reason for interviewing this small number of employees was that data

saturation was reached quickly in the qualitative part of the research. For the purposes of the survey, hundred (100) employees were given the questionnaire to fill in. Only eighty three (83) were completed and returned. A larger sample enables a researcher to draw more accurate conclusions and make more accurate predictions (White, 2003). The total sample size was therefore 89 participants. The number of participants and respondents were determined by population size. The higher the population size, the higher the number of participants and respondents. The survey and interviews were completed and conducted both on subordinates and supervisors. See Table 4.3.

Table 4.3: The number of respondents who participated in the study.

Bands	Population	Sample size	Research methods	
			Interviews	Surveys
Unskilled & skilled (Levels 4-6)	165	28	2	26
Highly skilled production(Levels 7-8)	189	36	2	34
Highly skilled supervision(Levels 9-10)	110	16	1	15
Middle and Senior management(Levels 11-16)	27	9	1	8
Total	491	89	06	83

A large number of respondents was chosen from levels 4 to 6 and levels 7 to 8 because these respondents are subordinates and most of the activities performed by them are subject to the implementation of the EPMDs. Levels 9 to 10 consist of assistant managers who supervise the subordinates and are still fairly close to their subordinates. Levels 11 to 16 comprised of deputy managers and the senior managers of the Department. They are hardly ever in their offices. They are in attendance in meetings most of the time. They are less aware of the activities performed in the workstations and rely mainly on reports they get from deputy managers.

4.6 The recruitment strategy

Following the receipt of permission to conduct the study in the DAC-KZN, an internal e-mail was sent to the selected respondents a month before the study commenced (see Appendices E1 and E2). The researcher issued telephonic as well as verbal reminders as the study date approached. The researcher requested the management in the five chosen chief directorates to encourage their employees during staff meetings to take part in the study. In addition, the researcher posted reminders on notice boards in all the selected chief directorates (see Appendix E3).

4.7 The data collection methods and tools

4.7.1 The interviews

This study used interviews as one of the methods of gathering data. An interview is a two-way conversation in which the interviewer asks the participant questions to collect data about the ideas, beliefs, views, opinions, and behaviour of the participant (Wagner, Kawulich, & Garner, 2012). Using an interview guide (see Appendix A), six semi-structured interviews were conducted to gather data about the implementation of the EPMDs in the DAC-KZN. Each interview lasted about thirty minutes. Semi-structured interviews were preferred because they were flexible, meaning they afforded the interviewer an opportunity to ask specific and relevant questions and to clarify questions when the informant misunderstood the question. Open-ended questions were asked.

Conducting the interviews allowed the researcher to enter the participants' world view, because the informant is allowed to express how s/he sees, thinks, believes and perceives in relation to the phenomenon under study. Of course, the interview had to be conducted in a sensitive manner

so that it would not seem threatening to the interviewee, and it had to be brief so that the informant would not think it too time consuming (Martyn, 2007). The researcher used a voice recorder to record the interviews, as well as a note book to record key words that would be helpful during the data analysis.

4.7.2 The surveys

Du Plooy-Cilliers, Davis & Bezuidenhout (2014:148) define a survey as a data collection method that consists of a series of questions designed to gather information about a relatively large group of people. The questionnaire that was used in this study consisted of five sections. Section A collected demographic information and sections B to E collected information about the workers' perceptions of the EPMDS process. (See Appendix C). The questionnaire provided a quantitative or numeric description of the opinions and attitudes of the workers towards the EPMDS. 100 questionnaires were given by the researcher to selected employees of the DAC-KZN to fill in. A date had been set for the collection of the completed questionnaires. The questionnaire was self-administered, and 83 of them were returned.

4.8 Measurement

Measurement is described as the allocation of numbers to object or events according to certain rules (Roussouw, 2003). For attitude questions, a five-point Likert-like scale was used. Likert scales were adopted because they are simple and easy to follow. A true Likert scale is one in which the stem includes a value or direction and the respondent indicates a level of agreement or disagreement with the statement (McMillan & Schumacher, 2006). The Likert scales were used to measure knowledge, attitudes, beliefs, sentiments and judgments of participants. The respondents were expected to show their levels of agreement with a statement by indicating their opinions on the five-point scale, where 1= strongly disagree, 2 = disagree, 3= somewhat agree, 4= agree; and 5=strongly agree. (See Appendix B).

4.9 Data quality control

4.9.1 Reliability

According to Du Plooy-Cilliers, Davis & Bezuidenhout (2014), the term 'reliability' refers to a situation in which when different participants are tested using the same instrument at different

times they respond identically to the instrument. The questions asked in the interviews were the same for all participants, and the same questionnaire was completed by all participants. To measure the internal consistency of the questionnaire Cronbach Alpha was used. The Cronbach's alpha coefficient was 0.79 ($\alpha = 0.79$), which is good and acceptable.

4.9.2 Validity

Validity can be either internal or external. Internal validity was maintained by ensuring that the study focused on providing answers to the research questions. External validity was maintained by selecting a sample that provided rich data that could be generalized to the entire department, and this was done by means of purposive stratified sampling, which ensured that all levels of the department were represented in the sample. The researcher developed a systematic and consistent way of analyzing the research data. The researcher tested the developing findings and propositions by using triangulation, and ensured that the interviews and questionnaires addressed the same research questions. To corroborate the findings, the researcher made use of participant validation by communicating findings to the participants and asking their opinions of them, thus checking their authenticity.

4.9.3 Credibility

Participant validation was employed to enhance the credibility of the results. Participant validation is a process whereby the data is collected is verified by the participants in the study (Mouton, 2009).

4.9.4 Transferability

This term refers to the extent to which the findings can be applied to other contexts or with other respondents (Mouton, 2009). Transferability was ensured by collecting sufficient detailed data in the department and reporting the data with sufficient detail and precision. The use of purposive and stratified sampling ensured transferability.

4.9.5 Dependability

Dependability is achieved in a study if it provides a report sufficiently comprehensive to enable future researchers to redo the work (Shenton, 2004). To establish dependability the researcher

conducted an inquiry audit (Mouton, 2009). The researcher examined documents, interview notes and findings to determine if the study does provide answers to research questions.

4.9.6 Confirmability

The term 'confirmability' has come to be used to refer to the degree to which the findings are the product of the performance of the inquiry and not of the biases of the researcher (Mouton, 2009:278). Ensuring confirmability involves consulting and reviewing the data to determine if the conclusions, interpretations and recommendations derived from them can be traced back to their sources and whether they are supported by the investigation. To apply this principle of trustworthiness the researcher made use of raw data, process notes, surveys and the themes that were developed. The researcher used the data derived from the interviews to confirm the data that had been gathered during the survey.

4.10 The data analysis

Data analysis methods that are appropriate to qualitative and quantitative methods were used.

4.10.1 Qualitative data analysis

Data analysis involves the reduction, organization, interpretation and substantiation of data (Du Plooy-Cilliers, Davis & Bezuidenhout, 2014). There are several data analysis methods from which one could choose, and the researcher adopted content analysis as the method to apply in this study. It was used to explore and identify overt and covert themes and patterns embedded in the qualitative data (Du Plooy-Cilliers, Davis & Bezuidenhout, 2014). It was conducted inductively. There are five steps that need to be followed when analyzing data qualitatively (O'Connor, 2006). Hereunder are the steps and the detailed information about how the researcher analyzed the data in each step.

4.10.1.1 The organization of the data

After transcribing the data, which produced five A4 pages of typed text, the researcher studied the interview guide and focused on the questions attempting to answer through conducting the interviews. In doing this the researcher ordered, reduced and structured the data. The researcher listened to recorded interview and copied and noted the recurring words, ideas, concept and themes in the recording (O'Connor, 2006).

4.10.1.2 Finding and organizing ideas and concepts

The researcher looked at the various answers provided to each question and noted the words or expressions that had been most frequently used. The researcher then rearranged these words/ideas into codes and categories. Coding means breaking up the data in analytically relevant ways (Blanche, 2006).

4.10.1.3 Building over-arching themes in the data

During this step, the researcher assembled together all relevant concepts, codes and ideas and formed one main theme. Blanche (2006) defines this stage as elaboration.

4.10.1.4 Ensuring reliability and validity in the data analysis

The researcher developed a systematic and consistent way of analyzing the research data. He tested the developing findings and proposition (O'Connor, 2006) and ensured validity by using triangulation. The researcher used the interviews and the questionnaires to answer the same research questions. To corroborate the findings the researcher made use of participant validation by communicating the findings to the participants to check their authenticity.

4.10.1.5 Finding possible and plausible explanations of the findings

The researcher summarized the findings and themes. He tried to establish if the findings answered the research questions by consulting field notes and responses given by participants in the survey. By examining the presence or repetition of certain words and phrases in these texts, the researcher was able to draw conclusions about field notes and survey.

4.10.2 The quantitative data analysis

Quantitative data analysis is defined as the numerical representation and manipulation of observations for the purposes of describing and explaining the phenomena that those observations reflect. The researcher made use of measures of descriptive and inferential statistics. Blanche (2006:194) describes frequency distribution as a graphical or tubular representation in which the values of the variable are plotted against the number of times (the frequency) they occurred. The researcher used different graphs to represent the responses of the participants to the research questions and their sub-themes. The graphs showed the percentages of the respondents who strongly disagreed, disagreed, somewhat agreed, agreed and strongly agreed with the given statements. The data were then analyzed and the analysis was reflected on graphs as percentages. The researcher also made use of nine tables in which comparisons were drawn between a sub-theme of the research question and one item of demographic information. A chi-square test was used to determine the relation between the demographic characteristics of the respondents and their perceptions.

4.11 Ethical considerations

White (2003) defines ethics in research as ‘a set of moral principles which is suggested by an individual or group, is subsequently widely accepted, and which offers rules and behavioural expectations about correct conduct towards experimental subjects and respondents, employers, sponsors, other researchers, assistants, and students’.

4.11.1 Informed consent

The information was provided to the participants that their participation in the study was voluntary and that they were at liberty to withdraw at any time during the study if they wished to do so. They were assured that the information provided during the study would be kept confidential and their identities would not be revealed. To give consent to participate in the study the participants were requested to sign a consent form. (See Appendices D1 and D2). The researcher made a point of stating that he would not reveal information about the participants that would embarrass them or put their property, lives, jobs, or friendship in danger (Cohen, Manion & Marrison, 2007). All the risks and potential impacts were explained to the participants prior to their participating in the study (Cohen, Manion & Marrison, 2007).

4.11.2 Confidentiality and anonymity

The participants in the research were assured that their protection was guaranteed; especially if they gave such confidential that might in any way jeopardize their well-being. The protection of the participants would be maintained by adhering to confidentiality and anonymity.

4.11.3 Confidentiality

The researcher assured the participants that the information they were to provide would be kept confidential. The researcher explained to participants the meanings and limits of confidentiality in relation to research. One way in which the researcher ensured confidentiality was to remove the names of the participants in the interviews and the survey and to replace them with identification numbers such as participant1 (P1).

4.11.5 Privacy

According to Cohen, Manion & Marrison (2007:63), the right to privacy has been defined as that which extends to all information relating to a person's physical and mental condition, personal circumstances and social relationships which are not already in the public domain. It gives to the individual or collectivity the freedom to decide for themselves when and where, in what circumstances and to what extent their personal attitudes, opinions, habits, eccentricities, doubts, and fears were to be communicated to or withheld from others. In conducting the study the researcher ensured that sensitive information provided by the participants was not made public. The participants had the right not to take part in the research, not to answer questions, not to be interviewed (Cohen, Manion & Marrison, 2007).

4.11.6 Deception

Cohen, Manion & Marrison (2007:66) state that deception may lie in not telling people that they are being researched, not telling the truth, telling lies, or compromising the truth. A researcher may do this by not adequately describing the purpose of the research and the conditions under which it would be performed. In this study, the purpose and procedure of the research were made clear to the participants. The introductory notes in Appendices A and B explained the purpose of the study.

4.11.7 Harm to the participants

Participation in social research should not harm participants. White (2003:143) argues that harm in the social sciences would mainly be of an emotional nature. Information about participants that would embarrass them or put their property, lives, jobs or friendships in danger is to be kept strictly confidential. All the risks and potential impacts were explained to the participants prior to their participation in the study

4.12 Limitations of the study

In this context, the term ‘limitations’ refers to the matters and occurrences that arise in a study which are out of the control of a researcher (Simon & Goes, 2013). The findings of the study are subject to at least two limitations. First, was an insufficient budget to enable the researcher to visit and interview all the participants in the three different regions (Northern, Eastern, and Western) of the Department. Second, the study sample consisted of employees of the DAC-KZN; as a result the findings might not be generalizable to other provincial government departments. In addition, the research was head office-based. The head office is in the Southern region, and that is where the process of the EPMDS is centrally controlled. Considering the depth and thoroughness of the study at the head office, the budgetary constraints pose no significant threat to the validity of the overall findings of the study. The majority of interviews were conducted at the head office particularly the management part because EPMDS is centrally controlled.

CHAPTER FIVE: DATA PRESENTATION AND ANALYSIS

Introduction

The major objective of this study was to investigate and analyze the implementation of the EPMDs in the DAC-KZN. The aim of this chapter is to clarify and discuss data collected when the interviews were conducted and from the questionnaires filled in by the respondents. The chapter utilizes graphs and tables to present the data. It also gives an account of the key findings of the study.

The chapter provides a summary of the demographic information of the respondents. Following this introduction, it presents the data related to the four broad research questions. Firstly, the chapter presents the data gathered from the respondents in relation to performance planning in the DAC-KZN. Secondly, the chapter presents the information obtained from the respondents in relation to performance monitoring and development in the DAC-KZN. Thirdly, the chapter presents the information collected from the respondents related to performance review and development in DAC-KZN. Fourthly, the chapter presents the data related to rewards and recognition pursuant on Performance Management in the DAC-KZN. Fifthly, the chapter discusses the findings of the study as informed by the conceptual framework discussed in Chapter 2. Finally, a synopsis of the study is provided.

The DAC-KZN, like all government departments, is expected to develop and implement Performance Management system which should be approved by the executive authority (Department of Public Service and Administration, 2016: 52). There are challenges in the implementation of the process which include, inter alia: the process being not developmental and consultative. Employees are marginally involved in performance planning and review. The policy requires that employees be involved in performance planning and performance reviewing which rarely occurred.

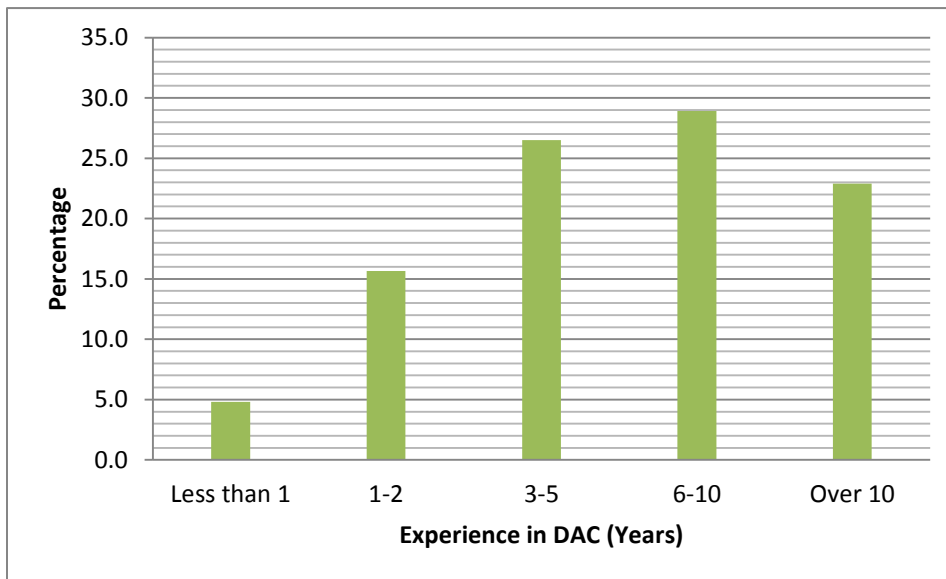
5.1 Demographic information.

This section provides respondents' demographic information in terms of their experience in the DAC-KZN, years in their current positions, positions in the organization and highest qualification.

5.1.1 Experience in the Department of Arts and Culture

The researcher needed to know the experience of the respondents in the DAC because that could have implications for their understanding of the EPMDs. Figure 5.3 shows the experience of the respondents in the DAC.

Figure 5.1: The classification of the respondents according to their experience in the DAC



It is apparent in Figure 5.1 that a high percentage of the respondents (28.9%) had experience in the Department ranging from 6 to 10 years. The percentage of respondents who had less than 1 year of experience was 4.8%. The percentage of respondents who had 1 to 2 years' experience in the Department was 15.7%, while the percentage of respondents who had 3 to 5 years' experience in the Department was 26.5%. The percentage of respondents who had more than 10 years' experience was 22.9%. The data provided in Figure 5.3 show that the over a quarter of the respondents (28.9%) were well experienced in their work, a fact which might suggest that they require little supervision.

5.1.2 Experience in their current positions (years)

The number of years for which they have been in current their positions may have an influence on employees' performance of their existing responsibilities. Experienced employees are likely

to perform better than the novice employees. Figure 5.2 shows the classification of the respondents according to their years in their current position.

Figure 5.2: The classification of the respondents according to their experience in their current positions (years)



What is significant about the data in figure 5.2 is that 31% of the respondents had 3 to 5 years' experience in their current positions. Some respondents (23%) had between 6 and 10 years, while other respondents (17%) had 1 and 2 years' experience in their current position. A minority of respondents (13%) had less than one year of experience in their current positions. These results are important, as they indicate the need to provide ongoing coaching, training and mentoring to employees who had between 3 and 5 years' experience in their current positions.

5.1.3 Position in the organization

The position of the employees indicates the kind of job they perform in the Department. Some employees were at an operational level and others at the managerial level. The kind of responses one can expect to get from these different levels within the Department concerning the EPMDS may not be similar. Figure 5.3 shows the job positions of the respondents.

Figure 5.3: Position in the organization

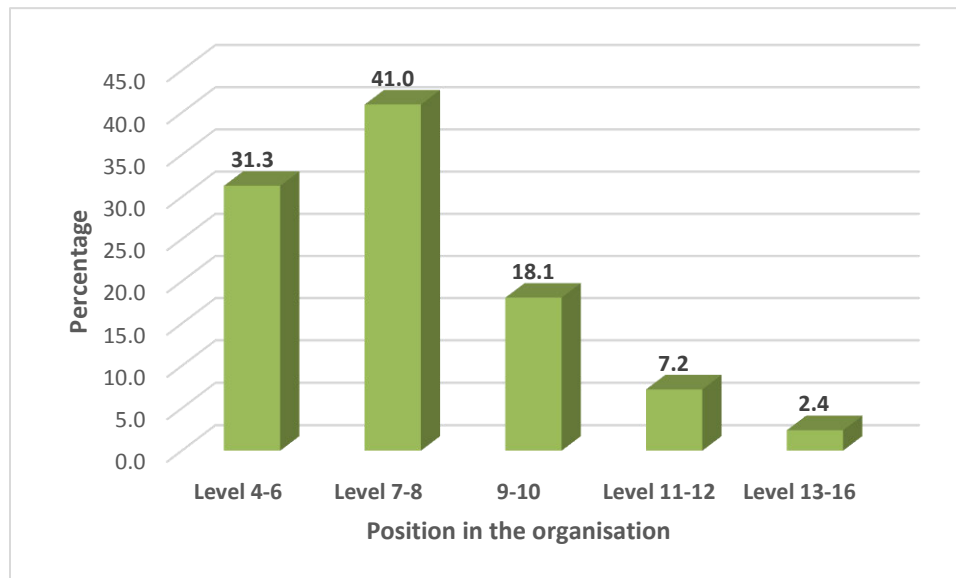


Figure 5.3 reveals that 41.0% of the respondents who participated in the study are on levels 7 and 8. The study shows that 31.3% consisted of employees that were on levels 4 to 6. Some respondents (18.1%) were on levels 9 to 10, while others (7.2%) were on levels 11 to 12. The lowest percentages of respondents (2.4%) to participate in the study were employees who were on levels 13 to 16. Employees on levels 13 to 16 were managers, and very few of them filled in the questionnaire, citing their hectic schedules. The researcher's rationale for selecting employees on levels 7 and 8 is that they are the most affected by the implementation of the EPMDS. Most of these respondents were at an operational level, were subordinates, and required constant feedback from their supervisors.

5.1.4 The highest qualifications of the respondents

The level of education of employees may influence their performance in their work stations. Education and training is considered to have a positive impact on the success and realization of organizational goals. It is assumed that the higher the qualification of an employee, the greater the chance that the employee will grasp information about the employee Performance Management system. Figure 5.4 shows the academic qualifications of the respondents.

Figure 5.4: The highest qualifications of the respondents



Figure 5.4 reveals that the greatest number of the respondents (34.9%) had a diploma as their highest qualifications. Some respondents (24.1%) had degrees as their highest qualification. Other respondents (8.6%) had honours degrees, while yet others (8.6%) had masters' degrees as their highest qualification, and the least percentage (1.2%) consisted of respondents who had doctorates as their highest qualifications.

This section has discussed the demographic information of the respondents, on the assumption that it would influence the implementation of the EPMDS in DAC-KZN. The respondents' experience in their current positions and their academic qualifications of respondents might influence their monitoring and development.

The next section of this dissertation is concerned with performance planning in the DAC-KZN.

5.2 Performance planning in the DAC-KZN

In line with the conceptual framework, the first research question in this study sought to determine the nature of the performance planning in the DAC-KZN. Five sub-themes were identified in this regard, to which the respondents had to react. The five research themes referred to above were (1) formulating performance expectations and goals, (2) discussing the objectives and targets of the unit, (3) knowledge of the criteria to be utilized during the assessment of performance, (4) explaining what the work entails, and (5) developing a personal development plan together.

5.2.1 Formulating performance expectations and goals

Goals direct one's actions. Formulating performance goals helps employees to know what is expected of them during the performance cycle. Supervisors as per the EPMDS policy are required to formulate goals together with employees under their authority. The respondents were asked if they had formulated performance expectations and goals with their supervisors, and their responses are shown in Figure 5.5.

Figure 5.5: Formulating performance goals and expectations

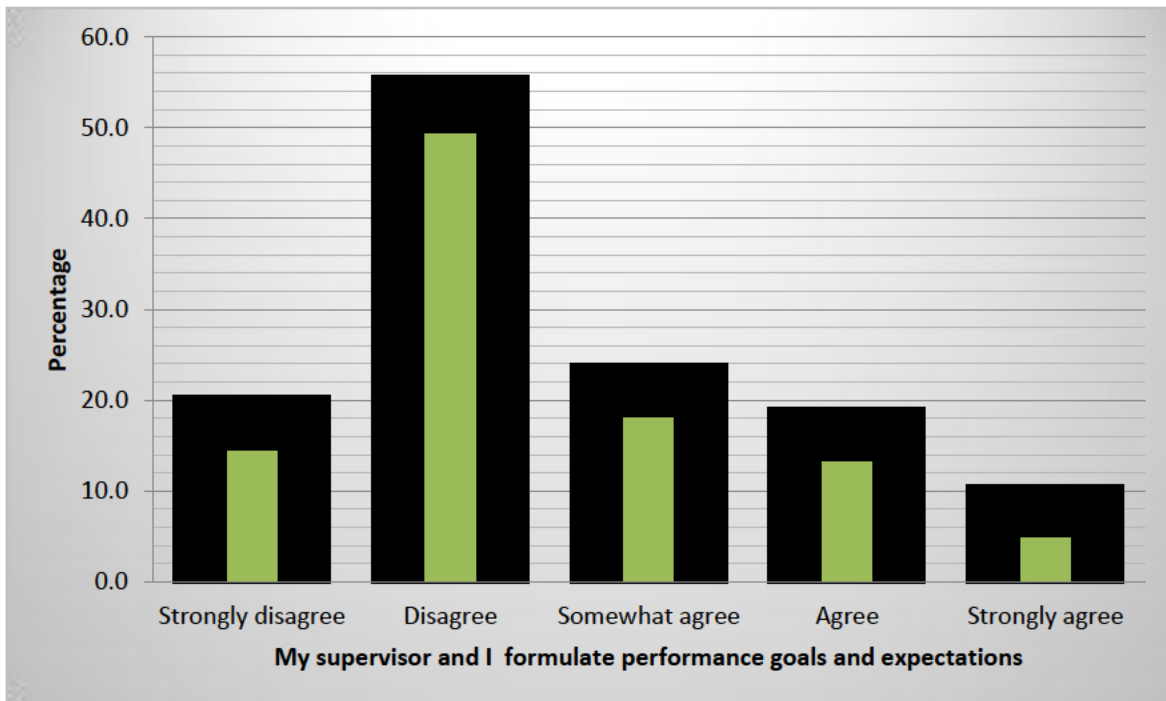


Figure 5.5 reveals that approximately half of those who responded (49.4%) disagreed with the statement that they formulated their performance goals and expectation jointly with their supervisors, and (14.5%) strongly disagreed. 18.0% of the respondents 'somewhat agreed' that their supervisors formulated performance goals and expectations with them. A small proportion (13.3%) 'agreed'; while other respondents (4.8%) 'strongly agreed'.

In one of the interviews a respondent remarked:

No, I do not sit down together with my supervisor to discuss Performance Agreements (PA) and Job Description (JD) and agree on what should be done throughout the performance cycle. I usually do it on my own and submit it to the supervisor. She would sometimes engage me, but only when there is a problem. It might be a good thing to have a discussion of what to do beforehand. (Participant 2)

Data are sufficient to suggest that supervisors do not organize performance meetings to make sure that employees are clear on what is expected of them during the performance cycle. Overall, the findings indicate that the employees complete the performance agreement forms by themselves without the guidance and coaching of their supervisors. The supervisor becomes involved only when there is a crisis.

5.2.2 Discussing the objectives and targets of the unit

Discussing the objectives and targets of the unit with employees is significant for the achievement of organizational objectives. The respondents were asked if they agreed that they discussed the objectives and targets of the unit with their supervisors. Figure 5.6 provides an overview of the responses of participants to the statement

Figure 5.6: Discussing the objectives and targets of the unit

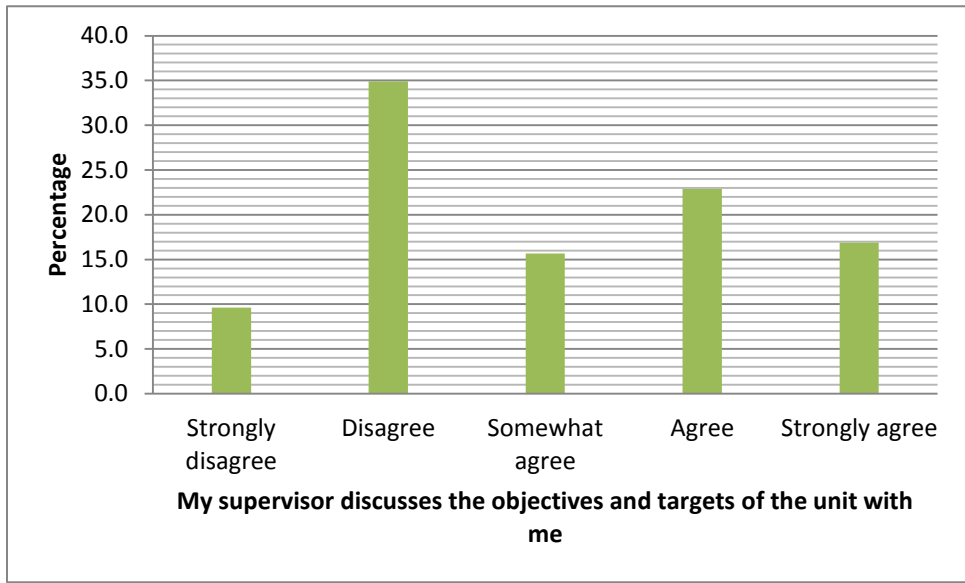


Figure 5.6 indicates that a high proportion of the respondents (34.9%) felt that the supervisors were not discussing the objectives and targets of the unit with them. A minority of the respondents (9.7%) ‘strongly disagreed’, while 23% of the respondents agreed and 16.9% strongly agreed that their supervisors discussed the objectives and targets of the unit with them. Just below a quarter (15.7%) of those who responded to the question reported that they ‘somewhat agreed’ that their supervisors discussed the objectives and targets of the unit with them. These results indicate that there is a gap in the performance planning of the Department, as the results record a high proportion of employees (34.9%) who contradicted the statement. This implies that the majority of the employees were not well-versed in the strategic goals of the Department, as the objectives and targets of the unit are meant to be aligned with the strategic goals of the Department.

5.2.3 Knowledge about the criteria to be utilized during the assessment of performance

It is important that the supervisor informs the employees what to expect or which criteria would be assessed during performance review meetings. Knowledge of what to expect encourages employees to work towards meeting the set criteria. The respondents were asked if their

supervisors had informed them about the criteria to be utilized during the assessment of performance. Figure 5.7 shows the responses of the respondents to the statement that their supervisors had done so.

Figure 5.7: Knowledge about the criteria to be utilized during the assessment of performance

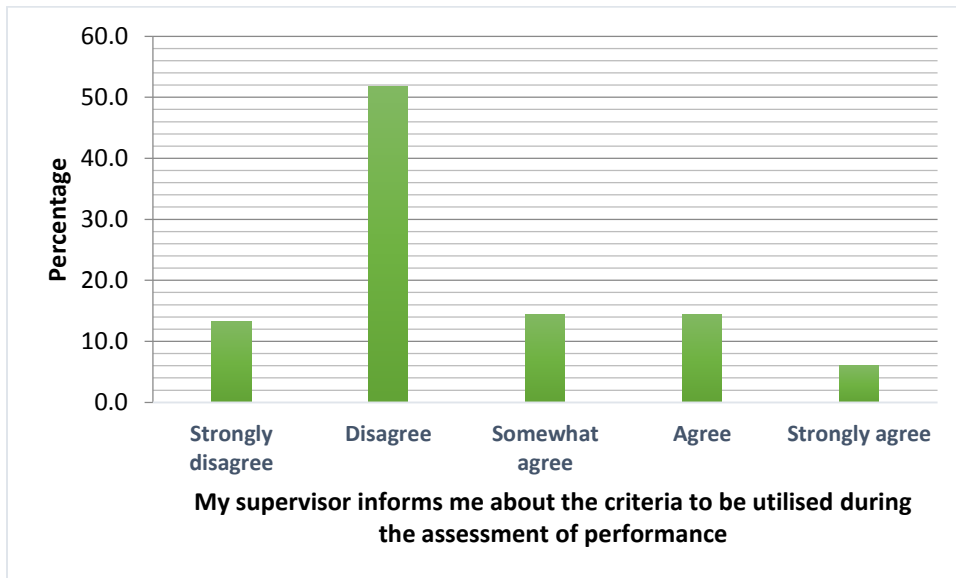


Figure 5.7 reveals that over half of the respondents (51.8%) disagreed and 13.3% of the respondents ‘strongly disagreed’ with the statement. What is interesting about the data is that not many respondents (14.5%) ‘somewhat agreed’ and ‘agreed’, while a small proportion of the respondents (6.0%) ‘strongly agreed’ with the statement.

These sentiments were also observed in the interviews, as shown by this statement:

There is limited information about what to expect during performance review because for the past three years I cannot recall having a meeting to discuss performance expectations

except to fill out the EPMDS forms. Filling out EPMDS forms is what we are good at. (Participant3).

These two data items, taken together, suggest that meetings to discuss expectations and standards to be evaluated during performance reviews are the exception in the unit, which results in the employees not knowing what to expect during performance reviews. Having limited knowledge of what to discuss in performance reviews limit the interactions that are meant to take place during the meetings.

5.2.4 Explaining the job descriptions

It is the professional responsibility of the supervisors to clarify the roles and responsibilities of the employees in a business unit. The respondents were asked if their supervisors explained what their work entailed. Table 5.1 shows their responses.

Table 5.1: The supervisor explained what my work entails; related to experience at the DAC

			Experience at the DAC (Years)					Total
			< 1	1-2	3-5	6-10	> 10	
Supervisor explains what my work entails	Strongly disagree	Count	0	0	0	3	2	5
		%	0.0%	0.0%	0.0%	60%	40%	100.0%
		% of Total	0.0%	0.0%	0.0%	3.7%	2.4%	6.1%
	Disagree	Count	4	7	13	12	11	47
		%	8.5%	14.9%	27.7%	25.5%	23.4%	100.0%
		% of Total	4.9%	8.5%	15.9%	14.6%	13.4%	57.3%
	Somewhat agree	Count	0	1	6	3	2	12
		%	0.0%	8.3%	50.0.1%	25.0%	16.7%	100.0%
		% of Total	0.0%	1.2%	7.3%	3.7%	2.4%	14.6%
	Agree	Count	0	3	2	4	3	12
		%	0.0%	25.0%	16.7%	33.3%	25.0%	100.0%
		% of Total	0.0%	3.7%	2.4%	4.9%	3.7%	14.6%
	Strongly agree	Count	0	2	1	2	1	6
		%	0.0%	33.3%	16.7%	33.3%	16.7%	100.0%
		% of Total	0.0%	2.4%	1.2%	2.4%	0.0%	7.3%
Total		Count	4	13	22	24	19	82
		%	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%
		% of Total	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%

Table 5.1 reveals that more than half of the respondents (57.3%) disagreed with the statement that their supervisors explained what their work entailed. The highest proportion (15.9%) of those who disagreed had 3 to 5 years of experience at the DAC. The respondents who strongly disagreed with the statement constituted a small percentage (6.1%). The highest percentage (3.7%) of those who strongly disagreed had 6 to 10 years of experience at the DAC. The percentage of respondents who ‘somewhat agree’ was 14.6%, and a half (7.3%) of such them had 3 to 5 years’ experience in the DAC. The respondents who agreed constituted 14.6% of the cohort. The greatest proportion (4.9%) of those who agreed had 6 to 10 years’ experience at the DAC. However, their views were not associated with their experience at the DAC, as shown by the chi-square test ($\chi^2 = 13.436$, $df = 16$, $p = 0.64$).

5.2.5 Developing a personal development plan together

The supervisor, as a mentor, is duty-bound to assist the employees under his/her supervision to develop a personal development plan.

The contribution of the supervisor can assist in maintaining objectivity when an employee develops a personal development plan because the mentor can assist in identifying weaknesses that need to be addressed. The respondents were asked if they agreed that they had developed personal development plans with their supervisors, and their responses are shown in Figure 5.8.

Figure 5.8: Developing a personal development plan together

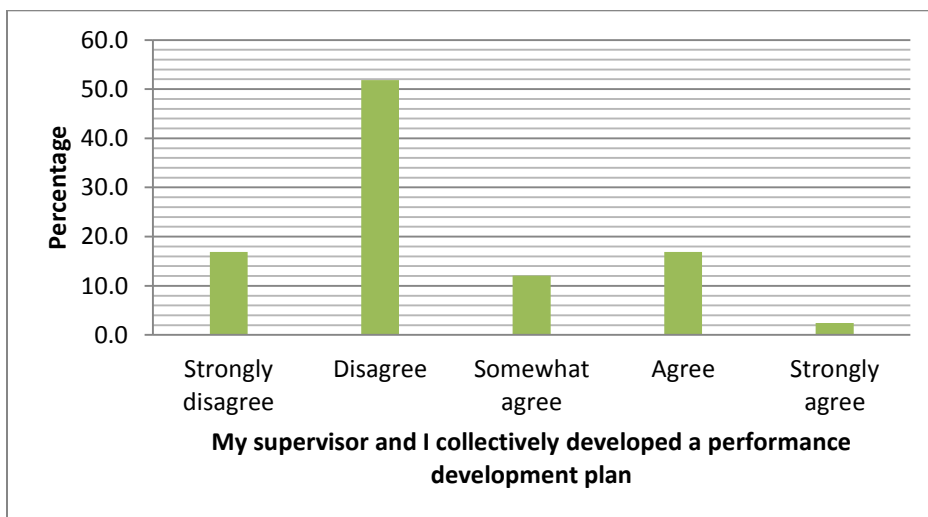


Figure 5.8 shows that over half of the respondents (51.8%) disagreed and fewer than a quarter of the respondents (16.9%) strongly disagreed with the statement. Some respondents (12.0%) ‘somewhat agreed’ and others (16.9%) ‘agreed’ with the statement. A small proportion of the respondents (2.4%) ‘strongly agreed’ with the statement. The data provided by respondents in the questionnaires concerning the same issue of PDPs were confirmed by a participant in an interview, who responded in this fashion:

Yes, I have a PDP. At the beginning of the financial year, we always receive a communiqué from HR that we must develop a PDP. I, individually, designed a PDP indicating areas where I need to be developed and submitted it to my supervisor to sign before it is sent to (HR) Human Resource for filling. (Participant 3).

Taken together, these findings indicate that the development of a PDP is initiated by the Human Resource section, not by the supervisor and the subordinate. These findings reveal that the majority of the supervisors are not active role players in the development of personal development plans. This may suggest that the development of a PDP is a matter of compliance, and its intention is not to develop employees in areas where shortcomings are observed.

Overall, these results indicate that almost two thirds of the respondents (64%) indicated that they had not been provided with an opportunity to formulate goals together with their supervisors, while over 44% had also not been involved in a discussion about the objectives and targets of their section/unit. The findings also reveal that the supervisors did not inform their subordinates about the criteria to be used during assessment. The study further reveals that approximately two thirds of the subordinates (64%) did not have their roles and responsibilities clarified by their supervisors, which resulted in the subordinates writing their performance development plan without the professional assistance of their supervisors. Overall, the findings reveal that there is a gap in the performance planning of the Department which needs to be addressed so that employees can benefit from the Performance Management system. This implies that the Department needs to organize training workshops for supervisors on the significance of this stage of Performance Management in achieving the strategic goals of the Department.

These results have implications for the next section, which discusses performance monitoring and development.

5.3 Performance monitoring and development

The second research question sought to establish how monitoring and feedback would assist in the development of the employees of and the effectiveness of the DAC-KZN. Five sub-themes were identified under monitoring and development in the DAC-KZN, to which the respondents had to give their responses. The sub-themes were: meeting with supervisors to discuss work progress, identifying shortcomings and providing coaching and mentoring, providing feedback on a regular basis, providing constructive feedback, and convening sharing sessions which motivate the employee to excel.

5.3.1 Meeting with the supervisor to discuss work progress

Regular meetings are important in Performance Management, as they assist employees to obtain information about their progress towards achieving goals. Meetings with their supervisors help to inform employees about their strong and weak points. The respondents were asked if they met with their supervisors to discuss their work progress. Figure 5.9 presents an overview of their responses.

Figure 5.9: Meeting with my supervisor to discuss my work progress

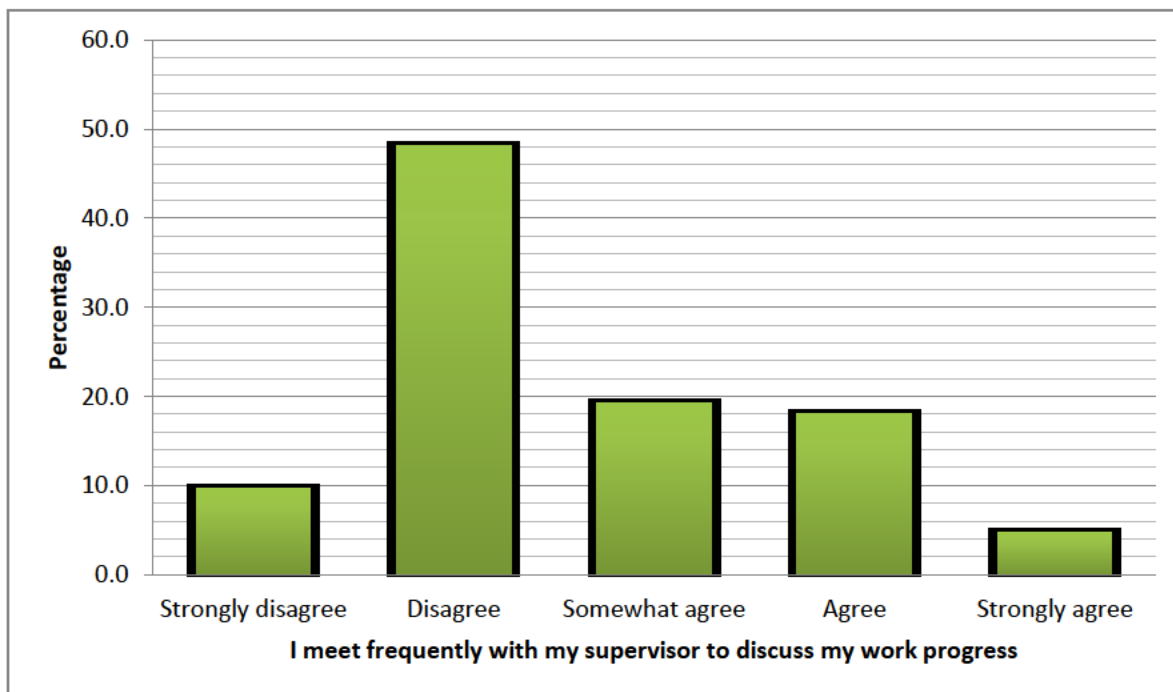


Figure 5.9 shows that 48.2% of those who responded to this statement disagreed with it, while some respondents (9.6%) strongly disagreed. Other responses (19.3%) to this statement included those who 'somewhat agreed'. Fewer than a quarter of the respondents (18.1%) agreed. A minority of the respondents (4.8%) indicated that they strongly agreed with the statement.

During the interview, one interviewee stated that:

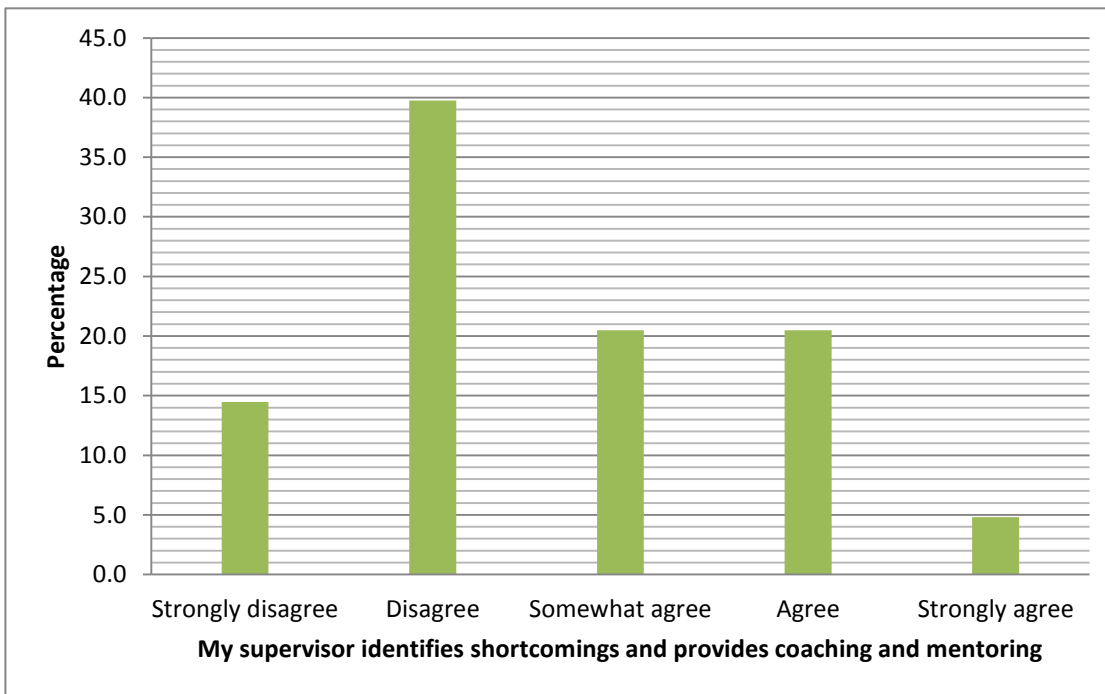
I have never sat down with my supervisor to get a report on what I have performed. It is a trend in the public service that you rarely have time to discuss performance. The reason might be that in some instances the managers are not well informed and equipped on how to manage and mentor subordinates because they are rarely at their work stations. As a result, they have limited information about my performance and they are not in a position to recommend workshops that would help advance my career.
(Participant 1)

Together, these results might suggest that there is a dire need to encourage and motivate supervisors to assist and coach their subordinates by meeting with them to discuss their work. The findings here suggest that meetings to discuss performance were not scheduled in the annual plan of the majority of managers or supervisors. This is perceived to be a norm in the Department, which means that it applies across units.

5.3.2 Identifying shortcomings and providing coaching and mentoring

It is the responsibility of the supervisor as the mentor to assist employees to develop in their professional careers. The respondents were asked to indicate whether their supervisors had, in fact, identified their shortcomings and provided coaching and mentoring. Figure 5.10 provides a summary of their responses.

Figure 5.10: Identifying shortcomings and providing coaching and mentoring



From the data in Figure 5.10, it is apparent that a large proportion of the respondents (39.8%) disagreed. Some respondents (20.5%) ‘somewhat agreed’ and the same number also ‘agreed’ with the statement. A minority of the respondents (4.8%) strongly agreed with the statement. One participant in the interview commented:

I can't recall an occasion where we formally discussed performance and highlighted some blemishes that have been committed. (Participant 5)

Taken together, these responses indicate that some supervisors had not internalized their responsibilities of coaching and guiding subordinates under their supervision so that they would develop in their careers. This denotes that there is a gap in terms of providing coaching and mentoring to employees. The coaching and mentoring would be significant in developing the careers of the employees and would assist the Department to deliver on its core functions.

5.3.3 Providing feedback on a regular basis

It is believed that feedback helps in directing employees and assists them to develop their careers. Feedback can be offered either informally or formally, and above all, feedback needs to be ongoing. The respondents were asked if their supervisors offered them feedback on a regular basis. Table 5.2 compares experience in the DAC (in years) with a preliminary analysis of the results obtained from asking feedback.

Table 5.2: Feedback is offered on a regular basis; related to experience at the DAC

			Experience in the DAC (Years)					Total
			< 1	1-2	3-5	6-10	> 10	
Feedback offered on regular basis	Strongly disagree	Count	0	1	3	6	3	13
		%	0.0%	7.7%	23.1%	46.2%	23.1%	100.0%
		% of Total	0.0%	1.2%	3.7%	7.3%	3.7%	15.9%
	Disagree	Count	3	3	15	11	8	40
		%	7.5%	7.5%	37.5%	27.5%	20.0%	100.0%
		% of Total	3.7%	3.7%	18.3%	13.4%	9.8%	48.8%
	Somewhat agree	Count	0	3	3	2	5	13
		%	0.0%	23.1%	23.1%	15.4%	38.5%	100.0%
		% of Total	0.0%	3.7%	3.7%	2.4%	6.1%	15.9%
	Agree	Count	0	5	0	3	3	11
		%	0.0%	45.5%	0.0%	27.3%	27.3%	100.0%
		% of Total	0.0%	6.1%	0.0%	3.7%	3.7%	13.4%
	Strongly agree	Count	1	1	1	2	0	5
		%	20.0%	20.0%	20.0%	40.0%	0.0%	100.0%
		% of Total	1.2%	1.2%	1.2%	2.4%	0.0%	6.1%
Total	Count	4	13	22	24	19	82	
	%	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%	
	% of Total	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%	

Table 5.2 reveals that approximately 49.0% of the respondents disagreed with the statement. The highest proportion (18.3%) of those who disagreed had 3 to 5 years' experience in the DAC. Fewer than a quarter of the respondents (15.9%) 'strongly disagreed', and the greatest proportion (7.3%) in this category were respondents who had 6 to 10 years' experience in the DAC. A similar percentage (15.9%) of the respondents 'somewhat agreed', and the highest proportion (6.1%) of such respondents had more than 10 years' experience in the DAC. Other responses to the statement included 13.4% of the respondents who 'agreed', and the highest percentage (6.1%) of the respondents who agreed had between 1 and 2 years' experience in the DAC. Other respondents (6.1%) strongly agreed, and the highest percentages (2.4%) were respondents who had between 6 and 10 years' experience in the DAC. However, the views of the respondents on this matter are not significantly related to their experience at the DAC, as shown by a chi-square test ($\chi^2 = 23.554$, $df = 16$, $p = 0.1$).

One of the responses the researcher was given during an interview was:

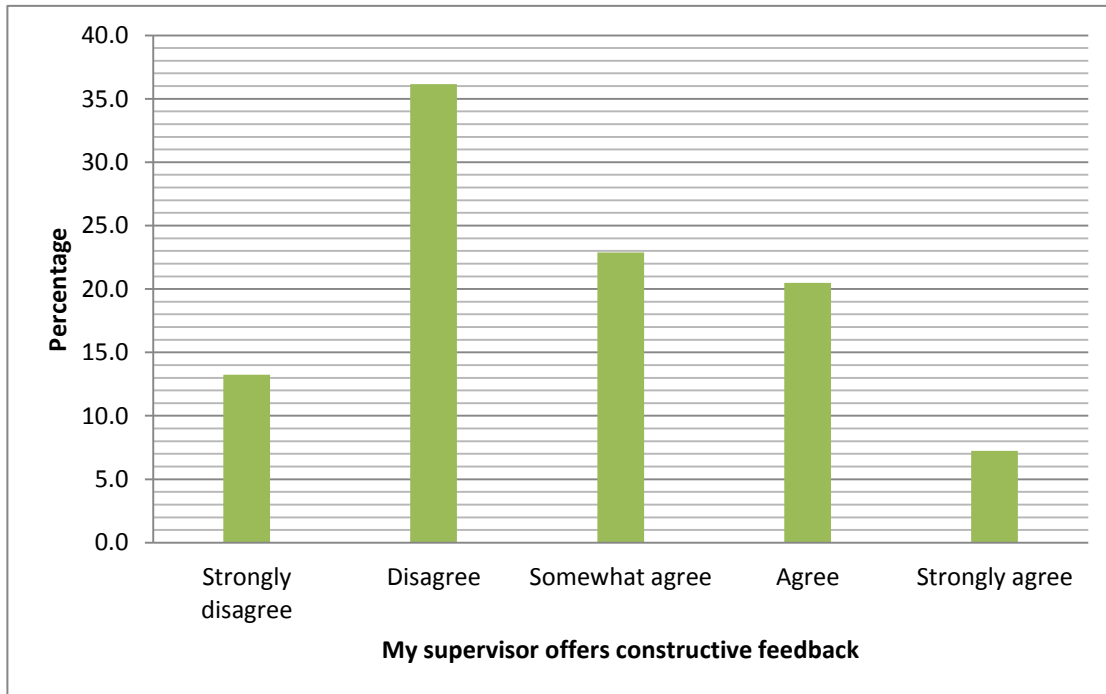
Performance reviews are missing and not part of the system at this time. We do not meet on a regular basis to discuss progress, either good or poor performance, but I would prefer that we meet frequently. (Participant 2).

Overall, it is evident that performance reviews were not formally conducted in the unit in the Department where the respondents were stationed. The findings reveal that the employees who suffered most in terms of not getting regular feedback from their supervisors were those who had between 6 and 10 years' experience in the Department. The assumption might be that these employees were proficient in their work and required less feedback.

5.3.4 Providing constructive feedback

The kind of feedback offered to employees can greatly influence the performance of the employees. A well-trained supervisor offers feedback in a manner that encourages commitment and diligence towards work. The respondents were asked if their supervisors provided them with constructive feedback and their responses are shown in Figure 5.11.

Figure 5.11: Providing constructive feedback



Figure

5.11 reveals that a high proportion of the respondents (36.1%) 'disagreed.' Other responses to this statement included those of respondents who 'strongly disagreed' (13.3%) and those respondents who 'somewhat agreed' (22.9%) with the statement. A minority of respondents (7%) 'strongly agreed'. These responses show that most supervisors (49.4%) were failing to provide constructive criticism to employees. This might mean that the supervisors were not assisting their subordinates to develop in their careers.

5.3.5 The sharing sessions motivate me to excel

Devoting some time to discussing work with the employees and advising them how it should be done proficiently can go a long way towards motivating employees to improve their efficiency and effectiveness in an organization. The respondents were asked if their supervisors motivated them to excel in their work. Table 5.3 shows their responses.

Table 5.3: The information sessions encourage me to do well; related to the age of the respondents

			Age				Total
			20 -35	36 – 50	51 – 65	> 65	
Information sessions encourage me to do well	Strongly disagree	Count	3	7	3	0	13
		% 1	23.1%	53.8%	23.1%	0.0%	100.0%
		% of Total	3.6%	8.4%	3.6%	0.0%	15.7%
	Disagree	Count	13	14	3	0	30
		%	43.3%	46.7%	10.0%	0.0%	100.0%
		% of Total	15.7%	16.9%	3.6%	0.0%	36.1%
	Somewhat agree	Count	5	9	1	2	17
		%	29.4%	52.9%	5.9%	11.8%	100.0%
		% of Total	6.0%	10.8%	1.2%	2.4%	20.5%
	Agree	Count	7	7	1	0	15
		%	46.7%	46.7%	6.7%	0.0%	100.0%
		% of Total	8.4%	8.4%	1.2%	0.0%	18.1%
	Strongly agree	Count	3	4	1	0	8
		%1	37.5%	50.0%	12.5%	0.0%	100.0%
		% of Total	3.6%	4.8%	1.2%	0.0%	9.6%
Total	Count	31	41	9	2	83	
	% 1	37.3%	49.4%	10.8%	2.4%	100.0%	
	% of Total	37.3%	49.4%	10.8%	2.4%	100.0%	

Table 5.3 reveals that the greatest proportion of the respondents (36.1%) disagreed that their supervisors organize sharing sessions to discuss their performance with them. Most (16.9%) of those who disagreed were between 36 and 50 years old. Some respondents (15.7%) strongly disagreed, and most (8.4%) of such respondents were between 36 and 50 years old. Other respondents (20.5%) somewhat agreed and over half (10.8%) of those who 'somewhat agreed' were respondents who were between 36 and 50 years old. Fewer than a quarter of the respondents (18.1%) agreed, and the highest proportion (8.4%) of such respondents were between 20 and 35, and 36 and 50 years old respectively. Only a small percentage (9.6%) of the respondents strongly agreed. The highest proportion (4.8%) of the respondents who strongly agreed were between 36 and 50 years old. However, their views were not significantly associated with the age of respondents as shown by the chi-square test ($\chi^2 = 12.022$, $df = 12$, $p = 0.444$).

Overall, these results provide an important insight into the implementation of the EPMDS in the DAC-KZN. The results reveal that a large percentage of the supervisors were not allocating time to discuss their progress with their subordinates that the provision of regular feedback is not well conducted, and that constructive feedback is scarcely ever offered to their subordinates.

5.4 Performance review and development

The third research question sought to determine to what extent performance development review improves employees' level of commitment and motivation. Seven sub-themes were identified to which respondents had to respond. The themes were: assessing progress against the performance agreement and work plan, the appraisal system helps in identifying strengths and weaknesses, allocating a performance rating, discussing the rating and reaching consensus, planning developmental activities together, refining technical abilities, and discussing the scoring.

5.4.1 Assessing progress against the performance agreement and work plan

Assessment is part of ongoing reflection about what has been done. Assessment should be based on activities mentioned in the work plan as well as in key performance areas. Age plays a prominent role in the performance of the employees in the organization. Respondents were asked if their supervisors assess progress against performance agreement and work plan.

Table 5.4 The supervisor assesses progress against the performance agreement and work plan; related to age

			Age				Total
			20 -35	36 - 50	51 - 65	> 65	
My supervisor and I assess progress against the performance agreement and work plan	Strongly disagree	Count	2	11	1	0	14
		%	14.3%	78.6%	7.1%	0.0%	100.0%
		% of Total	2.4%	13.3%	1.2%	0.0%	16.9%
	Disagree	Count	14	12	6	0	32
		%	43.8%	37.5%	18.8%	0.0%	100.0%
		% of Total	16.9%	14.5%	7.2%	0.0%	38.6%
	Somewhat agree	Count	6	7	2	2	17
		%	35.3%	41.2%	11.8%	11.8%	100.0%
		% of Total	7.2%	8.4%	2.4%	2.4%	20.5%
	Agree	Count	7	7	0	0	14
		%	50.0%	50.0%	0.0%	0.0%	100.0%
		% of Total	8.4%	8.4%	0.0%	0.0%	16.9%
	Strongly agree	Count	2	4	0	0	6
		% within	33.3%	66.7%	0.0%	0.0%	100.0%
		% of Total	2.4%	4.8%	0.0%	0.0%	7.2%
Total		Count	31	41	9	2	83
		%	37.3%	49.4%	10.8%	2.4%	100.0%
		% of Total	37.3%	49.4%	10.8%	2.4%	100.0%

Table 5.4 indicates that 38.6% of the respondents disagreed that their supervisors assess their progress against the performance agreement and work plan, and the highest proportion (16.9%) in this category were respondents who were between 20 and 35 years old. Of the 83 respondents who completed the questionnaire, just below a quarter (16.9%) ‘strongly disagreed’, and the greatest proportion (13.3%) of those who strongly disagreed consisted of respondents who were between 36 and 50 years old. Fewer than a quarter (20.5%) of the respondents ‘somewhat agreed’ with the statement. The highest percentage (8.4%) of those who ‘somewhat agreed’ were between 36 and 50 years old. 16.9% of those who responded to this statement agreed, and half of these respondents (8.4%) were between 20 and 35 and 36 and 50 years old. A small proportion (7.2%) of the respondents strongly agreed and the highest percentage (4.8%) of those who strongly agreed were between 36 and 50 years old. A chi-square test ($\chi^2 = 18.883$, $df = 12$, $p = 0.091$) shows that their views were not significantly associated with age.

Discussing this issue, an interviewee said:

As I indicated we did not have a chance to sit down with my supervisor to plan what I shall be doing throughout the performance cycle. There is limited information about what to expect in regard to performance review because for the past three years I cannot recall having a meeting to discuss performance except to fill out the EPMDS forms. Filling out EPMDS forms is what we are good at. (Participant 2)

Taken together, this indicates that employees were assessed on standards that they were not clear to them. The respondents became aware of the standards when the assessment had been completed.

5.4.2 The identification of weaknesses and strengths through the appraisal systems

Among the many ways in which supervisors can assist their subordinates to grow and develop is to have regular appraisal meetings with them where the positives and negatives of the employees' performance are highlighted. The employees benefit from appraisal meetings because they become aware of their limitations and can together with their supervisors put in place strategies that assist in their development. The respondents were asked if their supervisors identified their weaknesses and strengths during appraisals. Table 5.5 shows their responses.

Table 5.5: The appraisal system helps me to identify my weaknesses; related to position in the organization

			Position in the organization					Total
			4-6	7-8	9-10	11-12	13-16	
The appraisal system helps me to identify my weaknesses	Strongly disagree	Count	3	4	0	2	0	9
		%	33.3%	44.4%	0.0%	22.2%	0.0%	100.0%
		% of Total	3.6%	4.8%	0.0%	2.4%	0.0%	10.8%
	Disagree	Count	13	12	7	2	1	35
		%	37.1%	34.3%	20.0%	5.7%	2.9%	100.0%
		% of Total	15.7%	14.5%	8.4%	2.4%	1.2%	42.2%
	Somewhat agree	Count	5	5	5	1	1	17
		%	29.4%	29.4%	29.4%	5.9%	5.9%	100.0%
		% of Total	6.0%	6.0%	6.0%	1.2%	1.2%	20.5%
	Agree	Count	2	8	1	0	0	11
		%	18.2%	72.7%	9.1%	0.0%	0.0%	100.0%
		% of Total	2.4%	9.6%	1.2%	0.0%	0.0%	13.3%
	Strongly agree	Count	3	5	2	1	0	11
		%	27.3%	45.5%	18.2%	9.1%	0.0%	100.0%
		% of Total	3.6%	6.0%	2.4%	1.2%	0.0%	13.3%
Total		Count	26	34	15	6	2	83
		%	31.3%	41.0%	18.1%	7.2%	2.4%	100.0%
		% of Total	31.3%	41.0%	18.1%	7.2%	2.4%	100.0%

Table 5.5 reveals that 42.2% of the respondents 'disagreed'. The highest percentage (15.7%) of those who disagreed were at levels 4 to 6. A small proportion (10.8%) 'strongly disagreed' and the highest percentage (4.8%) of those who strongly disagreed were at levels 7 to 8. Less than a quarter (20.5%) of the respondents 'somewhat agreed'. The highest proportion (6.0%) of those who 'somewhat agreed' were at levels 4 to 6, 7 to 8 and 9 to 10. Some respondents (13.3%) 'agreed' and the highest proportion (9.6%) of those who agreed were at levels 7 and 8. Some respondents (13.3%) 'strongly agreed' and the highest percentage (6.0%) were at levels 7 and 8. However, their views were not significantly associated with their positions in the DAC, as shown by the chi-square test ($\chi^2 = 13.625$, $df = 16$, $p = 0.627$).

During an interview, one participant explained:

For the past 6 years, it has never happened, I do not remember a meeting with my supervisor to scrutinize my work identify strengths and weaknesses and provide necessary feedback. (Participant 4).

When these points are taken together, it is clear that the supervisors have not been conducting appraisal meetings where the work of the employee is assessed against expectations, where the supervisor acknowledges the employee's achievement and shortcomings and recommends how the shortcomings can be corrected moving forward.

5.4.3 Allocating performance ratings

When employees are clear about what is expected of them and know their goals it becomes a simple task to allocate scoring. This denotes that employees should be made aware of the goals he is asked to achieve. It is the responsibility of the supervisor to clarify such roles to the subordinates. Both the supervisor and employee can allocate ratings based on the progress made. The respondents were asked if their supervisors worked with them in the allocation of their performance ratings, and their responses are shown in Figure 5.12.

Figure 5.12: Allocating performance ratings

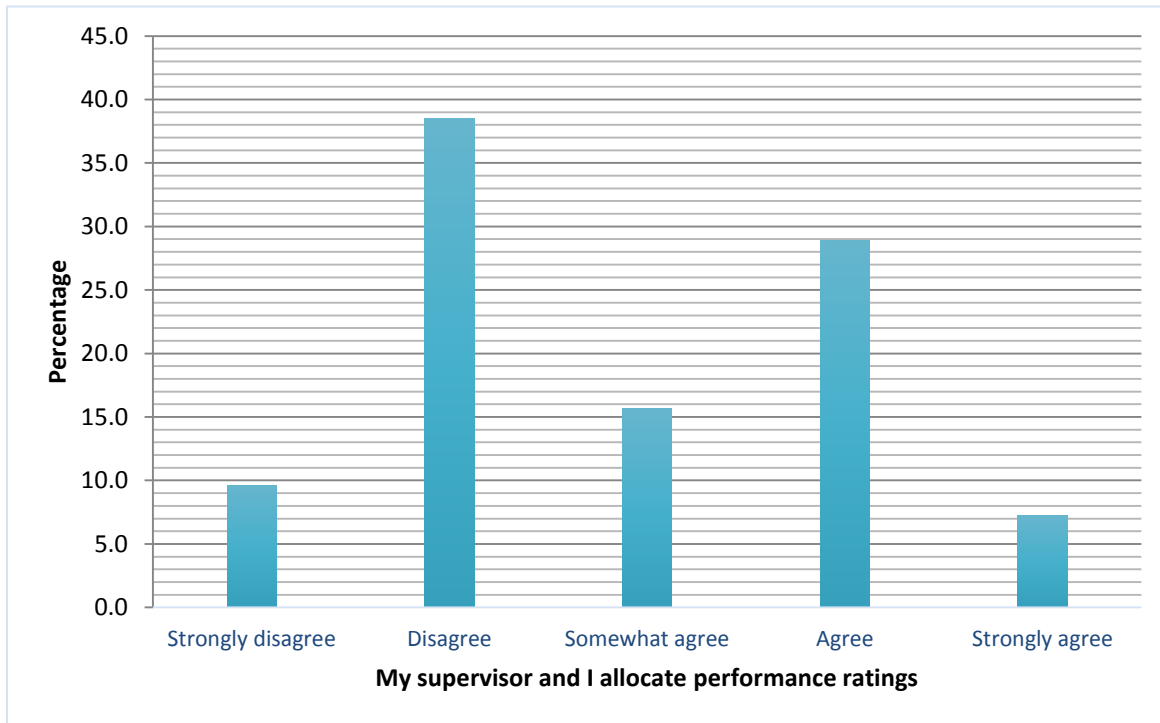


Figure 5.12 shows that a high proportion of the respondents (38.6%) disagreed. Some of those who responded to this statement ‘strongly disagreed’(9.6%) while others ‘somewhat agreed’(15.7%). A minority of the respondents (7.2%) ‘strongly agreed’ with the statement. The findings reveal that most supervisors unilaterally allocated performance rating scores, a practice which is against the view that performance rating should result from a discussion between the employee and the supervisor.

5.4.4 Discussing the rating and reaching consensus

It is important that the scores should be discussed between the employee and the supervisor and agreed upon. This will help to strengthen the relationship between the supervisor and the subordinate. It also helps to circumvent future disputes. The respondents were asked if they had discussed the ratings and reached consensus with their supervisors, and their responses are shown in Table 5.6.

Table 5.6: Discussing the rating and reaching consensus; related to experience in the DAC

			Experience in DAC (Years)					Total
			<1	1-2	3-5	6-10	>10	
We discuss the rating jointly and reach consensus	Strongly disagree	Count	0	0	3	3	3	9
		%	0.0%	0.0%	33.3%	33.3%	33.3%	100.0%
		% of Total	0.0%	0.0%	3.7%	3.7%	3.7%	11.0%
	Disagree	Count	2	7	10	9	7	35
		%	5.7%	20.0%	28.6%	25.7%	20.0%	100.0%
		% of Total	2.4%	8.5%	12.2%	11.0%	8.5%	42.7%
	Somewhat agree	Count	1	4	5	4	3	17
		%	5.9%	23.5%	29.4%	23.5%	17.6%	100.0%
		% of Total	1.2%	4.9%	6.1%	4.9%	3.7%	20.7%
	Agree	Count	1	1	3	5	3	13
		%	7.7%	7.7%	23.1%	38.5%	23.1%	100.0%
		% of Total	1.2%	1.2%	3.7%	6.1%	3.7%	15.9%
	Strongly agree	Count	0	1	1	3	3	8
		%	0.0%	12.5%	12.5%	37.5%	37.5%	100.0%
		% of Total	0.0%	1.2%	1.2%	3.7%	3.7%	9.8%
Total		Count	4	13	22	24	19	82
		%	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%
		% of Total	4.9%	15.9%	26.8%	29.3%	23.2%	100.0%

A large proportion of the respondents (28.6%) 'disagreed'; and the greatest number of those who disagreed had between 3 and 5 years' experience in the DAC. Approximately 29.4% respondents 'somewhat agreed', and those respondents had between 3 and 5 years' experience in the DAC. A large percentage of the respondents (38.5%) agreed that they discussed their ratings jointly and reached consensus, and the majority of these respondents had 6 to 10 years at the DAC. A large proportion of the respondents (37.5%) 'strongly agreed' that they discussed ratings and reached consensus, and the majority of those had 6 to 10 or more than 10 years' experience in the DAC.

The sentiment was also shared during an interview when a participant stated:

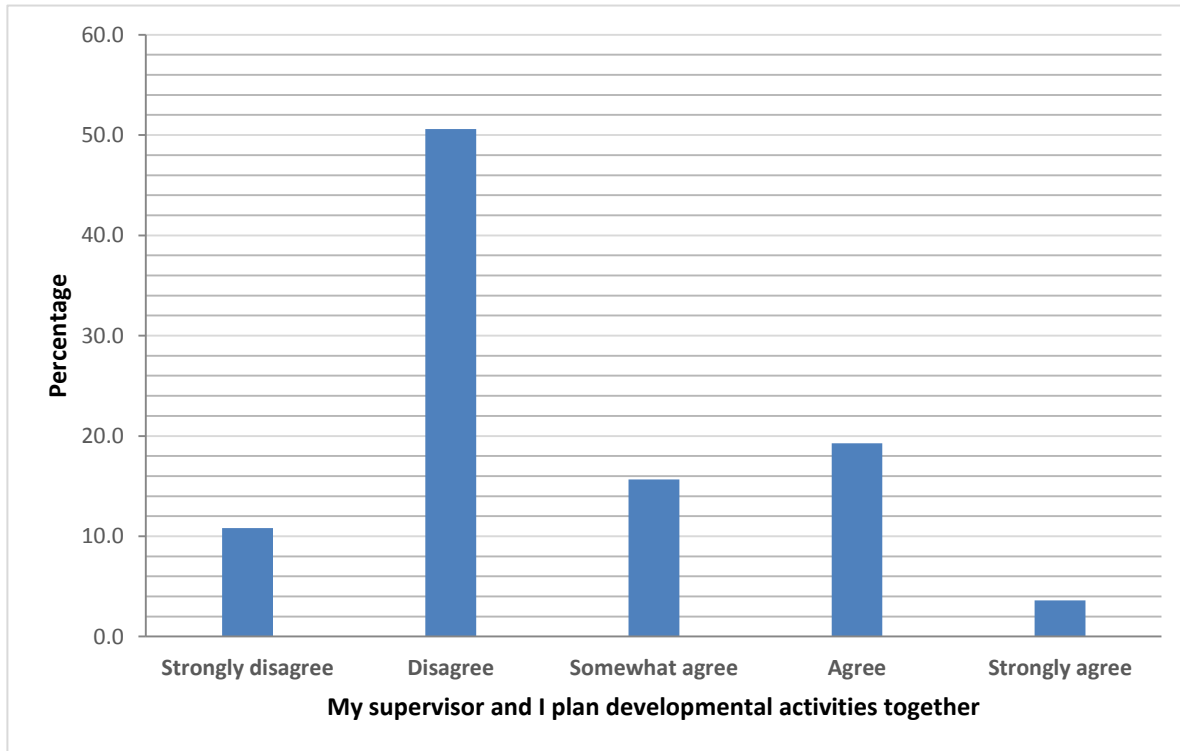
The scoring is not collectively discussed and agreed upon by both the supervisor and subordinate. The subordinate initially fills the scores which are either confirmed or refuted by the supervisor. Scores are not discussed. In the column for mutual scores, it is the supervisor who writes down those scores because the final say in the scoring rests with him or her. (Participant 5).

The results indicate that quite a large number of supervisors in the DAC have neither the time nor the inclination to discuss their scores with their subordinates and agree on them. The supervisors either intentionally ignore the provisions of the EPMDS in favour of assuming an authoritative stance on the discussion of scores, or they are ill-informed about the EPMDS.

5.4.5 Planning developmental activities together

The supervisor is expected to discuss the work of the employees in a formal meeting. In such meetings; the progress of the employees are scrutinized and strategies are designed to improve performance in areas where there is unsatisfactory and poor performance. In areas where there is little progress, the supervisor together with an employee can plan developmental activities that would enhance the performance of the employee. Respondents were asked to respond if they plan developmental activities together with their supervisors. Figure 5.13 shows the responses of the respondents to the statement.

Figure 5.13: Planning developmental activities together



Over half of the respondents (50.6%) disagreed that they plan developmental activities with their supervisors, while 10.8% strongly disagreed. Fewer than a quarter of the respondents (19.3%) ‘agreed’ with the statement, and a small number of respondents (3.6%) ‘strongly agreed’. The findings show that the supervisors were not instrumentally involved in the actual developmental activities of their subordinates. They were seen to be unconcerned about development their employees.

5.4.6 Refining employees’ technical abilities

Some employees join the Department with limited skills, and on-the-job training hones their skills and proficiencies. Training empowers employees and enhances performance in their current positions. The respondents were asked to indicate if their supervisors had made an attempt to improve their technical abilities. Table 5.7 shows the responses of the respondents.

Table 5.7: My technical abilities have improved; related to years in current position

			Years in current position					Total
			<1	1-2	3-5	6-10	>10	
My technical abilities have improved	Strongly disagree	Count	0	2	3	1	0	6
		%	0.0%	33.3%	50.0%	16.7%	0.0%	100.0%
		% of Total	0.0%	2.4%	3.6%	1.2%	0.0%	7.2%
	Disagree	Count	6	4	11	10	6	37
		%	16.2%	10.8%	29.7%	27.0%	16.2%	100.0%
		% of Total	7.2%	4.8%	13.3%	12.0%	7.2%	44.6%
	Somewhat agree	Count	2	3	5	1	3	14
		%	14.3%	21.4%	35.7%	7.1%	21.4%	100.0%
		% of Total	2.4%	3.6%	6.0%	1.2%	3.6%	16.9%
	Agree	Count	3	4	5	5	4	21
		%	14.3%	19.0%	23.8%	23.8%	19.0%	100.0%
		% of Total	3.6%	4.8%	6.0%	6.0%	4.8%	25.3%
	Strongly agree	Count	0	1	2	2	0	5
		%	0.0%	20.0%	40.0%	40.0%	0.0%	100.0%
		% of Total	0.0%	1.2%	2.4%	2.4%	0.0%	6.0%
Total		Count	11	14	26	19	13	83
		%	13.3%	16.9%	31.3%	22.9%	15.7%	100.0%
		% of Total	13.3%	16.9%	31.3%	22.9%	15.7%	100.0%

Table 5.7 shows that a large proportion of the respondents (44.6%) disagreed. The highest percentage (13.3%) of those who disagreed had between 3 and 5 years' experience in their current positions. Other respondents (7.2%) strongly disagreed, and a half (50.0%) of those who strongly disagreed had 3 to 5 years' experience in their current positions. Some respondents (16.9%) 'somewhat agreed' and the majority (35.7%) of those who somewhat agreed had between 3 and 5 years' experience in their current position. Just over a quarter of the respondents (25.3%) agreed, and the highest proportion (6.0%) of those who agreed had 3 to 5 and 6 to 10 years' experience in their current positions. A small percentage (25.3%) of the respondents agreed and the highest proportion (6.0%) of those who agreed had 3 to 5 or 6 to 10 years in their current positions. However, their views were not significantly associated with their experience in their current positions in the DAC, as shown by the chi-square test ($\chi^2 = 10.251$, $df = 16$, $p = 0.853$).

Some interviewees argued that they had not developed technically as a consequence of attending workshops organized by the Department. On the other hand, one interviewee said:

I have attended workshops that have been organized by the department, and they were very informative. I can highlight the recent one about writing and presentation. I learnt a lot in that workshop which I was not aware of. The workshop taught me how to write submissions to senior officials in the department. I can say my technical expertise has improved a lot. (Participant 5).

Taken together, the findings are that very few individuals had developed technically as a result of attending workshops organized by the Department.

5.4.7 Discussing scoring on Annexures E and F

Employees in the public sector are expected to complete annexure Eⁱ and Fⁱⁱ during the performance cycle. Annexures E and F record the performance of employees. These annexures are considered when the rewarding of employees' performance is discussed. The scores recorded in these forms indicate whether the employee qualifies for an incentive bonus or not. These documents record the scores of employees regarding their progress.

To avoid confrontation it is significant that the scores are discussed by employees and supervisors before a final score is entered in the document. Figure 5.14 presents the summary of responses to the statement that this is done.

Figure 5.14: Discussing scoring on Annexures E and F

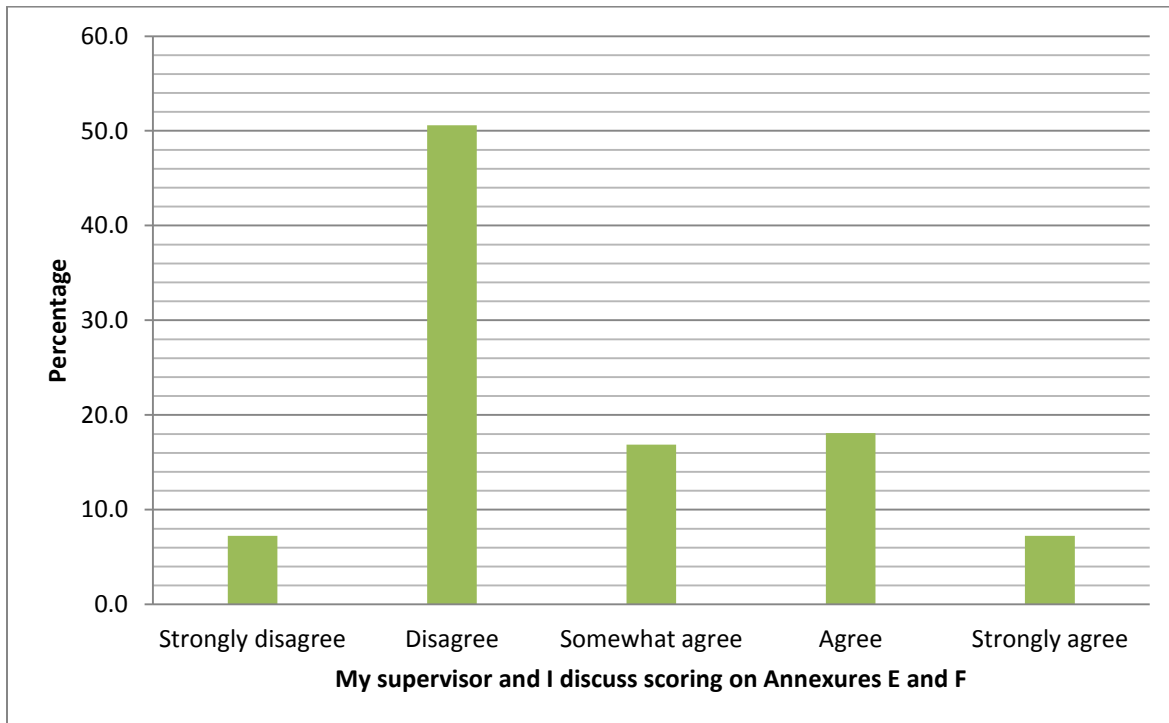


Figure 5.14 reveals that just over half of the respondents (50.6%) disagreed. 16.9% of those who were surveyed indicated that they ‘somewhat agreed’, while others (18.1%) ‘agreed’. What is rare about this data is that few of the respondents (7.2%) are recorded in the extremes, strongly disagreed and strongly agree. The findings reveal that the discussion of scores is not well practiced in the Department. Overall, the results show that the assessment of work against performance agreements and work plans is poorly conducted in the Department. Employees were not adequately assisted to develop in their careers. The level of engaging employees in the allocation and discussion of scores leaves much to be desired. Very few respondents indicated that their technical abilities have improved while in the Department, and this implies that the training provided to employees is insufficient.

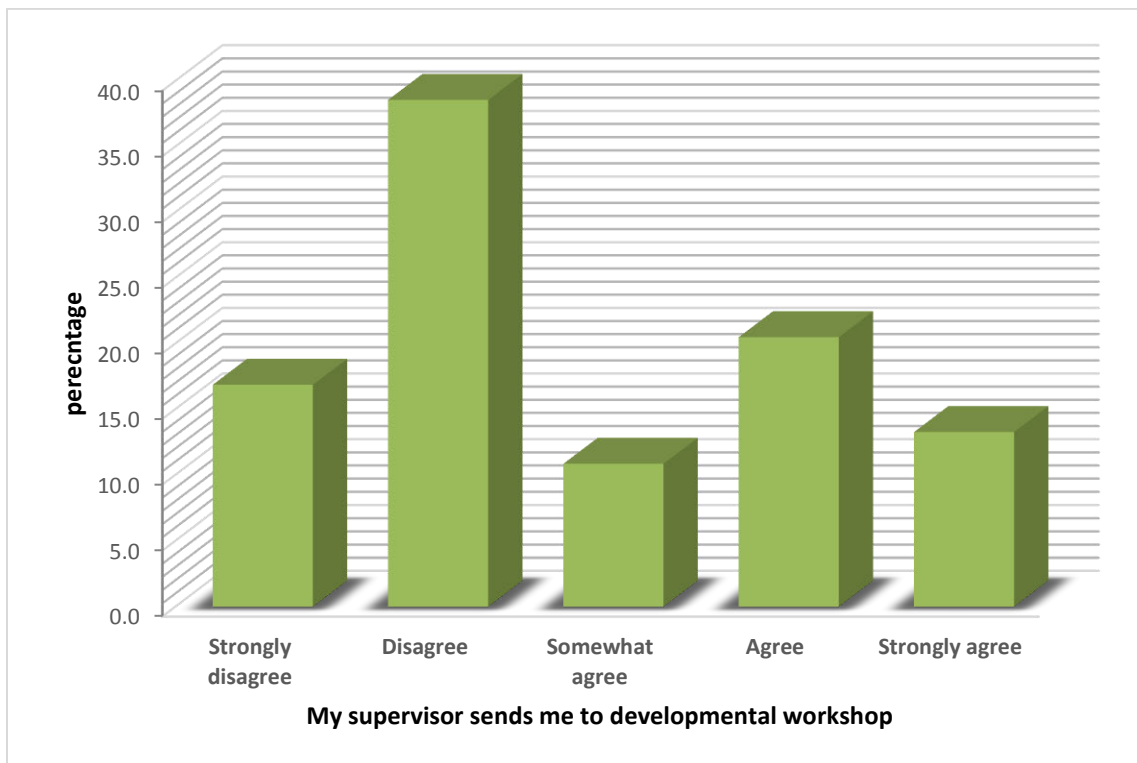
5.5 Rewards and recognition of the performance

The last research question sought to investigate the rewarding and recognition of good performance in the Department. This research question was divided into five sub-themes, namely: participating in developmental workshops, employees being given incentives for jobs well done, incentivizing employees for working beyond expectation, inspiring subordinates to submit motivations to get incentives, having a transparent incentive and rewards policy, and applauding subordinates for work well done.

5.5.1 Participating in developmental workshops

Training enhances performance and when employees attend developmental workshops this vastly benefits organizations. In training programmes, individuals acquire new skills which contribute to the overall achievement of both the individuals and the organization. The respondents were asked if their supervisors allowed them to attend developmental workshops, and Figure 5.15 shows their responses.

Figure 5.15: Participating in developmental workshops

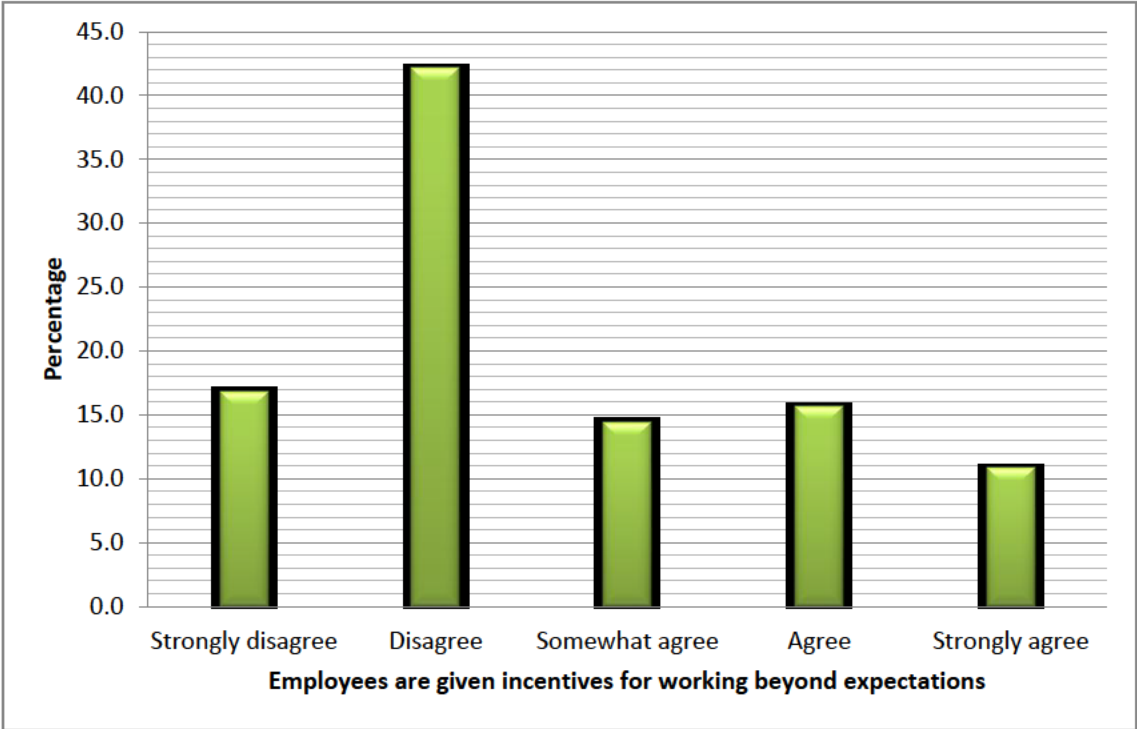


The findings reveal that a large proportion of the respondents (38.6%) disagreed that their supervisors send them to developmental workshops. 16.9% of those who responded to this item ‘strongly disagreed’. A minority of the respondents (10.8%) ‘somewhat agreed’ with the statement. These results indicate that many supervisors do not recommend that their subordinates attend developmental workshops.

5.5.2 Incentivizing employees for working beyond expectations

Employees who work diligently to achieve organizational objectives deserve recognition and reward because this boosts morale and the motivation level of the employees. The respondents were asked if their supervisor incentivized them for working beyond expectations, and Figure 5.16 provides the perceptions of the respondents.

Figure 5.16: Incentivizing employees for working beyond expectations.



A large proportion of the respondents (42%) disagreed that they receive incentives for working beyond expectations. 17% of those who were surveyed ‘strongly disagreed’, while other respondents (14%) ‘somewhat agree’ with the statement. A minority of the respondents (11%) ‘strongly agreed’ with the statement. The EPMDS document states that employees who have

worked and exceeded expectations must be rewarded. The findings of the study indicate that many supervisors were not complying with the public sector EPMDS.

5.5.3 Inspiring subordinates to submit motivations to get incentives.

The supervisor needs to observe and diarize the performances of the employees so that he/she is in a better position to recommend that the employees be rewarded for good performance. The respondents were asked if their supervisors motivate them to write and submit motivations to get incentives. Table 5.8 shows their responses.

Table 5.8: Supervisors encourage employees to motivate for rewards; related to position in the organisation

			Position in the organization					Total
			4-6	7-8	9-10	11-12	13-16	
Encourages to write motivation	Strongly disagree	Count	6	5	3	0	0	14
		% within	42.9%	35.7%	21.4%	0.0%	0.0%	100.0%
		% of Total	7.2%	6.0%	3.6%	0.0%	0.0%	16.9%
	Disagree	Count	11	19	5	3	2	40
		% within	27.5%	47.5%	12.5%	7.5%	5.0%	100.0%
		% of Total	13.3%	22.9%	6.0%	3.6%	2.4%	48.2%
	Somewhat agree	Count	3	3	2	1	0	9
		% within	33.3%	33.3%	22.2%	11.1%	0.0%	100.0%
		% of Total	3.6%	3.6%	2.4%	1.2%	0.0%	10.8%
	Agree	Count	5	3	4	1	0	13
		% within	38.5%	23.1%	30.8%	7.7%	0.0%	100.0%
		% of Total	6.0%	3.6%	4.8%	1.2%	0.0%	15.7%
	Strongly agree	Count	1	4	1	1	0	7
		%	14.3%	57.1%	14.3%	14.3%	0.0%	100.0%
		% of Total	1.2%	4.8%	1.2%	1.2%	0.0%	8.4%
Total		Count	26	34	15	6	2	83
		%	31.3%	41.0%	18.1%	7.2%	2.4%	100.0%
		% of Total	31.3%	41.0%	18.1%	7.2%	2.4%	100.0%

Table 5.8 reveals that 48.2% of the respondents disagreed, and the greatest proportion (22.9%) of those who disagreed were at levels 7 and 8. Some respondents (16.9%) ‘strongly disagreed’ and the greatest proportion (7.2%) of those who strongly disagreed were at levels 4 to 6. Other respondents (10.8%) ‘somewhat agreed’ and the greatest proportion (3.6%) of those who somewhat agreed were at levels 4 to 6 and 7 to 8. Some respondents (15.7%) ‘agreed’ and the greatest proportion (6.0%) of those who agreed were on levels 4 to 6. A minority of the respondents (8.4%) ‘strongly agreed’ and over half (4.8%) of those who strongly agreed were at levels 7 and 8. This means that supervisors are not encouraging and assisting their good performers to write motivations to get rewards and incentives.

5.5.4 A transparent incentive and rewards policy

When employees are aware that their diligence will be rewarded, they are likely to dedicate all their efforts towards their daily duties. A transparent incentive and rewards policy may assist in publicizing and documenting how employees who work extraordinary well would be rewarded. The respondents were asked if there was a reward policy in the Department. Table 5.9 shows their responses.

Table 5.9: A transparent incentive and reward policy; related to years in current position

			Years in current position					Total
			<1	1-2	3-5	6-10	>10	
Transparent incentive and reward policy	Strongly disagree	Count	0	2	8	4	4	18
		%	0.0%	11.1%	44.4%	22.2%	22.2%	100.0%
		% of Total	0.0%	2.4%	9.6%	4.8%	4.8%	21.7%
	Disagree	Count	8	8	11	8	5	40
		%	20.0%	20.0%	27.5%	20.0%	12.5%	100.0%
		% of Total	9.6%	9.6%	13.3%	9.6%	6.0%	48.2%
	Somewhat agree	Count	3	2	3	1	1	10
		%	30.0%	20.0%	30.0%	10.0%	10.0%	100.0%
		% of Total	3.6%	2.4%	3.6%	1.2%	1.2%	12.0%
	Agree	Count	0	2	4	4	2	12
		%	0.0%	16.7%	33.3%	33.3%	16.7%	100.0%
		% of Total	0.0%	2.4%	4.8%	4.8%	2.4%	14.5%
	Strongly agree	Count	0	0	0	2	1	3
		%	0.0%	0.0%	0.0%	66.7%	33.3%	100.0%
		% of Total	0.0%	0.0%	0.0%	2.4%	1.2%	3.6%
Total		Count	11	14	26	19	13	83
		%	13.3%	16.9%	31.3%	22.9%	15.7%	100.0%
		% of Total	13.3%	16.9%	31.3%	22.9%	15.7%	100.0%

Table 5.9 reveals that 48.2% of the respondents disagreed that there was a transparent reward and incentive policy in the DAC. The greatest proportion (13.3%) of those who disagreed had 3 to 5 years' experience in their positions. 21.7% of the respondents 'strongly disagreed' that there was a transparent reward and incentive policy in the DAC. The largest percentage (9.6%) of those who strongly disagreed had 3 to 5 years' experience in their current positions. Some respondents (12.0%) somewhat agreed, and the greatest percentage (3.6%) of those who somewhat agreed had less than a year or 3 to 5 years' experience in their positions. Other respondents (14.5%) 'agreed', and the greatest proportion (4.8%) of those who agreed had 3 to 5 or 6 to 10 years' experience in their current positions. Only 3.6% 'strongly agreed' with the statement and the greatest proportion (2.4%) of those who strongly agreed had between 6 and 10 years' experience in their positions. A chi-square test ($\chi^2 = 12.533$, $df = 16$, $p = 0.707$) showed that their views were not significantly associated with their experience in their current positions.

Discussing this issue, an interviewee said:

I think the department has a policy on rewards because some employees get bonuses but I am not aware of it because I can't explain under what conditions one gets a bonus. (P5).

Overall, this indicates that the Department has a policy on rewards and incentives and that the real problem is communicating the policy to all of its employees. This also shows that some supervisors are failing in their responsibility of cascading information to lower levels of the Department.

5.5.5 Applauding subordinates for work well done

It is encouraging to know that good performance is recognized. The employees get motivated because they understand that their contribution is valued. The respondents were asked if their supervisors applauded them for doing good work. Figure 5.17 shows their responses.

Figure 5.17: Applauding subordinates for work well done

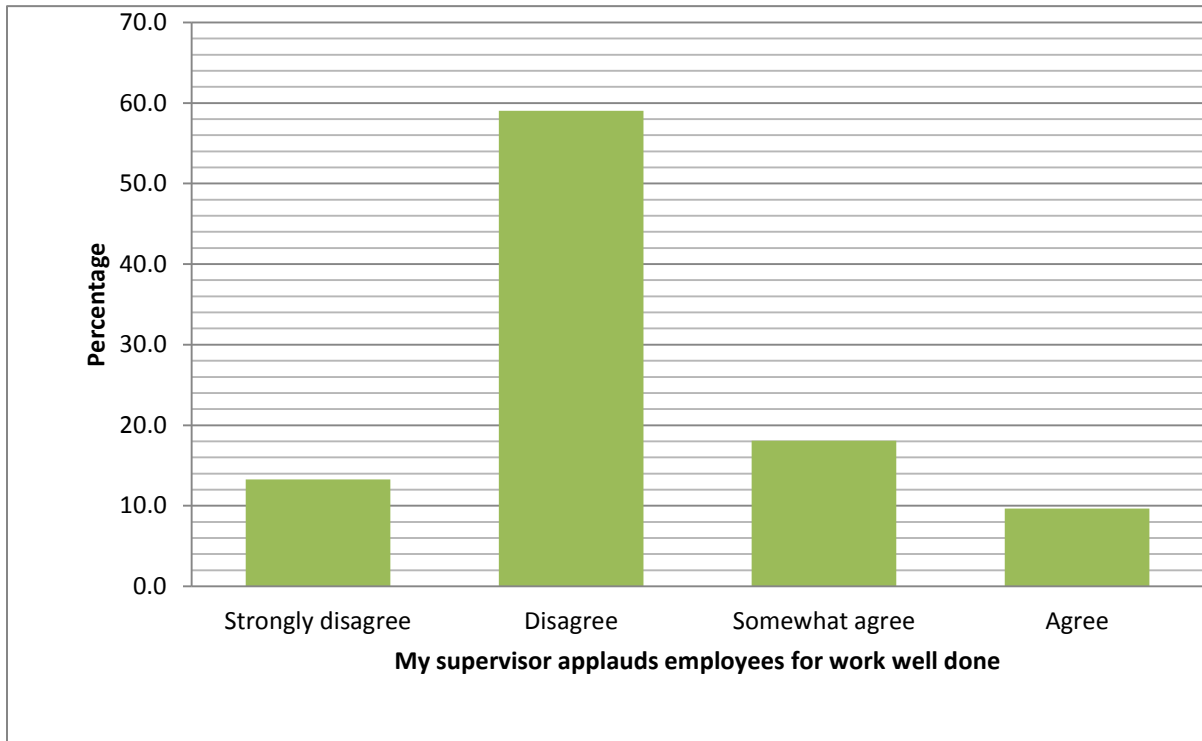


Figure 5.17 shows that over half of those surveyed (59.0%) indicated their disagreement with the statement. 13.3% of the respondents ‘strongly disagreed’, while other respondents (18.1%) ‘somewhat agreed’. A minority of the respondents (9.6%) ‘agreed’ with the statement. It was interesting to note that nobody ‘strongly agreed’.

During an interview one participant commented:

We do not meet on a regular basis to discuss progress either good or poor performance, but I would prefer that we meet frequently, but I must admit from time to time my supervisor does comment on good performance but I receive this feedback informally.
(P2)

This statement clearly shows that some supervisors do comment positively on good work performed by subordinates. The majority of the employees complained that they were not given

incentives for working diligently and beyond expectations. Statistically, almost 70% of the respondents were found not to be aware of the Departmental reward policy, which means it has not been communicated to all employees of the Department.

So far, this section has focused on presenting and analyzing data. The following section will focus on discussing the findings of the study

5.6 Discussion

This section discusses the findings of the study. The discussion is around the four broad research questions and is informed by the conceptual framework described in Chapter 2.

5.6.1 Performance planning in the DAC-KZN

The first question in this study sought to determine how performance planning is conducted in the DAC-KZN. The findings of the study indicate that performance planning is largely not well conducted in the Department. The findings of the study reveal that supervisors were not involving employees in the formulation of goals and expectations, employees were not informed about the criteria to be used during the assessment, and that supervisors are not assisting employees to develop performance development plans. Failure to achieve a unit's objectives is squarely placed on the failure of supervisors to discuss expectations and goals with their subordinates. These results contrast with the findings of previous studies which argue that supervisors need to meet their subordinates to discuss the goals and expectations to be achieved during the performance cycle (Pulakos, 2004; Wohleber, 2008; Amos, Ristow, Ristow & Pearce, 2008; Nel, 2008; Ammons & Roenigk, 2015). These results are consistent with those of Mpanga (2009), who found that the majority of Uganda Public Service employees were not provided opportunities to participate and agree on their performance plans and that the majority of the employees also did not understand the goals of their jobs. It seems possible that the situation found by this study may be accounted for by poor planning in various units of the Department. Almost two thirds of the respondents (63.9%) disagreed with the statement that their supervisors formulated their performance goals and expectations with them. Both the supervisors and the employees (the subordinates) in this study should be accustomed to the EPMDS since it is conducted throughout the performance cycle in the various units of the Department. The perceptions of the employees regarding performance planning offer a valuable insight into a situation which demands that future research is undertaken into the matter. This case study was

specific to the DAC-KZN but the results could with caution be generalized to other government departments.

5.6.2 Performance monitoring and development

The second question asked in this research sought to establish the perceptions of workers regarding the Performance Management processes of monitoring and development. The findings of the current study found that there is poor monitoring and employee development in the Department. The results of this study reveal that feedback is not offered on a regular basis as there meetings are not frequently convened to discuss performance. It was found that more than half of the supervisors are not coaching and mentoring their subordinates. Supervisors are expected to provide constructive and continuous feedback and encourage the participation of employees when performance is discussed. These findings might be related to the inadequacy of the platforms to assist employees to develop in their professional career. Pulakos (2004) and Taylor (2011) hold the view that employees should be provided with constructive and regular feedback and that they should be encouraged to participate in discussions. The current study found that approximately half of the respondents disputed that supervisors had offered constructive and regular feedback, although some respondents seemed to agree that supervisor did offer constructive feedback on a regular basis. A possible explanation for these results may be the lack of adequate information on the side of management to effectively implement employees' Performance Management system. Another possible explanation is that there are good supervisors and bad supervisors. The respondents in our study were familiar with the EPMDS; therefore, their perceptions of the process will vastly assist in comprehending the implementation of the EPMDS in DAC-KZN. No previous study has been conducted into the implementation of the EPMDS in the DAC-KZN; these findings are therefore significant to the Department, as they might inform strategies aimed at developing employees. Only employees of DAC-KZN were invited to participate in this study, and future research might expand the continuum and source participants from different government departments that will make generalization more feasible.

5.6.3 Performance review and development

The third research question sought to determine how employees at the DAC-KZN perceive the Performance Management review processes. The current study found that over half of the

supervisors were not assessing the employees on clear and specific standards. The study further found that performance scores were not discussed and agreed on; and that the development of the technical skills of the employees was not a priority. This might imply that the supervisors are not greatly concerned about the development of their subordinates. The findings suggest that appraisal reviews in the Department leave so much to be desired. This means that appraisal reviews fail to highlight the shortcomings and strengths of employees, as the scores recorded in the review forms are not a true reflection of their work performance. Performance appraisals are meant to be productive, to help identify weaknesses, and to aid in strategizing how the shortcomings identified can be addressed (Balcioglu & Nihinlola, 2014; Swanepoel, Erasmus, Schenk & Tshilongamulenzhe, 2014) yet this study has been unable to find that they are taking place in the Department. Other studies have found that measuring performance increases productivity and efficiency in an organization (Mensah, 2015), and such measuring is a primary purpose of the performance appraisals that are being neglected in the Department. These rather disappointing results may be due to the ignorance of management or a lack of concern about the development of the labour force. Managers were included in the survey and interviews. See Table 4.3.

This study has enhanced our understanding of performance review as it is occurring in the department. A further study could assess the long-term effects of an absence of performance reviews.

5.6.4 Rewards and recognition in Performance Management

The final research question sought to investigate the perceptions of employees at the DAC-KZN regarding the recognition and rewards linked to their performance ratings. The results of the study show that good performers in the department were not being incentivized and recognized for outstanding performance. This implies that supervisors were not encouraging outstanding employees to craft motivations to get rewards and bonuses for exceeding the organization's expectations. Previous research has argued that rewards inspire people to enhance their productivity (Rani & Srivastava, 2016). This study has been unable to demonstrate the truth or falsity of the belief that rewards and praise enhance performance (Njanja, Mania, Kibet & Njangi, 2013). Just over half of the respondents reported that the issue of rewards and recognition in the Department is a dead letter. These findings are rather disappointing. They

may help us to understand how rewards and bonuses are managed in the Department, but the sample size in the study was small and caution must be applied, as the findings might not be transferable to other government departments. A further study with more focus on managing excellence could profitably be conducted.

The purpose of the chapter was to present the data and analyze it and present and discuss the findings of the study. The study has shown that there is a gap in the performance planning of the Department because employees are not involved in the formulation of their performance goals. The second major finding of the study was that there is poor monitoring and employee development in the Department because the study has shown that half of the supervisors are not coaching and mentoring their subordinates. It has also been shown that supervisors have been assessing their subordinates on ambiguous standards and that performance scores have not been discussed with employees. Finally, the study has also found that good performers in the department were not well rewarded. This study confirms the findings of Mpanga (2009), who found that the majority of Ugandan public service employees were not provided with opportunities to participate in the setting of their goals, and contributes additional evidence that suggests that review meetings, report backs, and informal contact sessions should be used to monitor and offer continuous feedback to employees. More information on the monitoring and evaluation of employees would help us to establish a greater degree of accuracy in this matter.

CHAPTER SIX: SUMMARY, RECOMMENDATIONS AND CONCLUSION

Introduction

The main aim of the study was to analyze the implementation of the Employees' Performance Management and Development System in the Department of Arts and Culture in KwaZulu-Natal (DAC-KZN). The main goal of this chapter is to provide a summary of the study as well as to draw conclusions about the study objectives namely: investigating the extent to which performance planning will contribute to building a professional service in DAC-KZN, establishing how monitoring and feedback will assist in the development of the employees of the DAC-KZN and contribute to the effectiveness of the organization, determining the extent to which performance review and development reviews improve employees' levels of commitment and motivation, and investigating the extent to which the offering of rewards and recognition contributes to the motivation of employees of the DAC-KZN. The chapter further provides recommendations that the study proposes based on its findings, and suggests the implications of the study for human resource practitioners, policy makers, and future research.

6.1 A summary of the study

The study found that the respondents were not involved in the formulation of their goals and expectations. Although almost all of the respondents had submitted Personal Development Plans to the Human Resource section, the perceptions of the respondents were that their supervisors had been passive participants in the development of their PDPs. The findings revealed that over two thirds of the employees (68.7%) had developed their PDPs on their own without the assistance of their supervisors. This lack of assistance might have a negative bearing on employee development as it could lead to supervisors not pressuring HR to organize training programmes in response to the PDPs.

The study revealed that there was no proper performance monitoring and development of employees in the Department. In addition, employees were not regularly provided with constructive feedback. This might negatively affect the performance of the organizations as predetermined strategic goals might be a daunting task to achieve. The study further revealed

that just over half of the respondents denied that their supervisors provided them with coaching and mentoring.

Although the public sector document on the EPMDS requires that performance standards need to be clarified and that performance scores should be discussed between supervisors and employees, the study revealed that employees were assessed according to ambiguous standards and that a high proportion of supervisors did not discuss their performance scores with their subordinates. This might have serious implications for the development of the employees as well as the relationship between the supervisors and the employees.

The study also indicated that just over half of the employees who excelled in their tasks were not recognized and rewarded accordingly. The study established that almost two thirds (65.1%) of the respondents were of the opinion that those who exceeded performance expectations did not receive bonuses because their managers did not motivate or help them to motivate for such bonuses. The study revealed that there was a need to empower supervisors to assist good performers to motivate for incentives.

6.2 Conclusions with regard to the study's research objectives

The results of the study presented in the preceding chapter assisted in providing answers to the research questions of the current study. By reviewing the research questions and objectives which the study was intended for, the researcher came to certain conclusions and which informed his recommendations. The major objectives and conclusions are highlighted in the next paragraphs, 6.2.1 to 6.2.4.

6.2.1 Performance planning

One of the major objectives of the study was to investigate how performance planning is conducted in the DAC-KZN. The following conclusions were drawn from the findings:

- a) Almost two thirds of the employees indicated that they were not involved in the formulation of the performance goals and expectations. The conclusion drawn from this was that there was the inadequate participation of employees in the formulation of their goals.

- b) The majority of the employees were not aware of the criteria that were used during the assessment of their performance. Based on this, the researcher concluded that there might be a communication breakdown between the supervisors and their subordinates.
- c) Most employees indicated that their supervisors were not fully involved in the development of their Personal Development Plans. It was therefore clear that most supervisors were not greatly concerned about the development of their subordinates.
- d) It was finally concluded that there was a gap in the performance planning of most units of the Department.

6.2.2 Performance monitoring and development

The second objective was to establish the perceptions of workers regarding the Performance Management processes of monitoring and feedback.

- a) Approximately 64.7% of the respondents indicated that they were not provided with feedback on a regular basis. It was concluded that almost two thirds of the supervisors have a serious challenge in terms of providing regular feedback to their subordinates.
- b) Responses to the question of coaching and mentoring showed that half of the supervisors were not coaching and mentoring their subordinates. The conclusion was that coaching and mentoring were still grey areas in the Department which required serious attention.

6.2.3 Performance review and development

The third objective was to determine how employees at the DAC-KZN perceive the Performance Management review process.

- a) 55.5% of the respondents disputed the view that supervisors evaluated their performance against specific and clear standards. It was concluded that due to poor performance planning half of the employees were not clear about what to expect during performance reviews.
- b) The supervisors had not discussed their scores with their subordinates. The conclusion was that the supervisors perceived the allocation of final performance scores as their professional prerogative.

6.2.4 Rewards and recognitions in Performance Management

The final objective of the study was to investigate the perceptions of employees at the DAC-KZN regarding the recognition and rewards linked to their performance ratings.

- a) The findings of the study revealed that most good performers who exceeded expectations had not received incentives for their good performance.
- b) Based on the perceptions of the respondents, the study concluded that the Department did not recognize and reward good performance.

6.3 Recommendations

Performance Management requires that all stakeholders play their specific roles efficiently for public organizations to deliver on their given mandate of providing efficient service delivery to their clients. It has been observed and noted that the implementation of the EPMDS in the DAC-KZN has encountered numerous challenges. Based on the perceptions of the respondents, some of the challenges revealed by the study include the failure of supervisors to discuss their personal development plans with their subordinates; inadequate monitoring and development; the absence of performance review meetings to assist subordinates to develop their skills; and finally the failure to recognize and reward good performance.

There are a number of important changes which need to be effected regarding the areas mentioned above. All employees, but especially managers and supervisors, need to be trained on the EPMDS so that they can implement the policy with confidence. As part of the on-going training of managers and supervisors, it is recommended that a standing item be included on the agenda of executive council meetings to give a specialist on the topic of the EPMDS an opportunity to make a comprehensive presentation about one aspect of Performance Management at a time, until all the aspects have been covered.

The study has also revealed gaps in monitoring and development. It is therefore recommended that continuous feedback is offered, as well as training to supervisors and managers, on how to offer constructive feedback - for example, by highlighting what the employee has done well, as that would help to enhance employee's participation in feedback meetings.

The research has also revealed that over half of the participants responded negatively to the notion that performance appraisals are means to identify strengths and weaknesses. It is

recommended that supervisors be encouraged to convene review meetings and to make use of informal contact sessions to discuss the performance of the employees with them, as well as to monitor employee performance on a continuous basis.

Based on the perceptions of the respondents, the findings further revealed that the majority of the good performers in the Department were not being rewarded. This might have a negative impact on the performance of employees as there are no incentives for good performance. It is recommended that the Department reserve funds reward and incentivize good performers in terms of the effective implementation of the EPMDS. The respondents in our study were familiar with the EPMDS; therefore, their perceptions of the process will vastly assist in comprehending the implementation of the EPMDS in DAC-KZN. No previous study has been conducted into the implementation of the EPMDS in the DAC-KZN; these findings are therefore significant to the Department, as they might inform strategies aimed at developing employees. Only employees of DAC-KZN were invited to participate in this study, and future research might expand the continuum and source participants from different government departments that will make generalization more feasible.

6.4 Implications of the study

The findings have important implications for the implementation of the EPMDS in the Province of KwaZulu-Natal and beyond, as they could be generalized to other provincial government departments with caution. For HR practitioners and managers, the study has the following implications: it may assist them to value performance planning where employees and supervisors formulate goals and expectations, to monitor performance continuously and provide regular feedback and reward good performance. For policy makers, it might mean that a situational analysis needs to be conducted prior to policy implementation. This may assist departmental officials to better understand the employee Performance Management system process. Another important implication of the study is that for any policy to be implemented effectively, proper training should be provided to policy drivers to guarantee that the process is fully comprehended, thus circumventing the inappropriate implementation of policy.

Summary

The main aim of the chapter was to provide a summary of the study as well as conclusions about study objectives, recommendations based on the findings of the study and implications of the study for the broader ecosystem of the Performance Management process.

It has shown that performance planning, monitoring and development have been poorly executed in the Department, that performance scores were not discussed with employees and that excellence was not being rewarded. The study consequently recommends that managers be trained on the EPMDS, that supervisors offer continuous feedback with regard to development, and that money be made available to reward good performance.

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LIST OF APPENDICES

Appendix A: Interview guide

<p>Introduction</p>	<p>I am a registered student at the University of KwaZulu-Natal doing Masters in Administration (MA) conducting interviews seeking to understand how the department implements EPMDS to develop employees. I have few questions that I would like to ask you and I want to assure you that the data collected during the interview would be treated with the greatest level of confidentiality. You will have access to the recorded interview if you wish to get it. Your identity cannot be revealed in the study or to anyone else.</p> <p>I request to record the interview so that I would transcribe and be able to action analysis with all other interviews.</p> <p>Is the permission granted?</p>
<p>Particulars of the interview</p>	<p>Gender:</p> <p>Age:</p> <p>Rank:</p> <p>Race:</p>
<p>Interview questions and eliciting statements</p>	<ul style="list-style-type: none"> •How do you know what is expected of you during performance cycle? •How does your supervisor assist you in developing your career?

	<ul style="list-style-type: none">•How does your supervisor monitor your work and how often is this done? <p>How your unit does acknowledge and reward good performance?</p> <ul style="list-style-type: none">•How do bonuses and awards motivate you to perform well in your job?•How often does your supervisor meet with you to discuss progress and offer feedback?
--	---

Appendix B: Questionnaire

Good morning. I am conducting a study on EPMDS with employees of DAC in KwaZulu-Natal and I therefore, request you to fill the questionnaire. You do not need to fill your name on the questionnaire. Information provided will be kept confidential and anonymous.

Your participation in the study is voluntary and by participating, you are granting the researcher permission to use your responses. You may refuse to participate or withdraw from the study at any time with no negative consequence. There will be no monetary gain from participating in the study. Your anonymity will be maintained by the researcher and the School of Management, I.T. & Governance and your response will not be used for any purposes outside of this study.

General instructions for filling questionnaire

The questionnaire has five sections.

Section A

This section deals with demographic information of participants.

Section B

This section deals with the issue of performance planning in the department.

Section C

This section deals with performance monitoring in the department.

Section D

This section deals with performance review in the department.

Section E

This section deals with issues of rewards and recognition in the department.

Section A

Demographic information of participants

To be answered by all employees

Please indicate your response to the following statements. Tick the appropriate box.

A1 AGE

20-35		36-50		51-65		Over 65	
-------	--	-------	--	-------	--	------------	--

A2 Gender

Male		Female	
------	--	--------	--

A3 Number of years working for the department of Arts and Culture

Less than 1		1-2		3-5		6-10		Over 10	
----------------	--	-----	--	-----	--	------	--	------------	--

A4 number of years in the current position

Less than 1		1-2		3-5		6-10		Over 10	
----------------	--	-----	--	-----	--	------	--	------------	--

Job status

Level 4-6	
Level 7-8	

Level 9-10	
Level 11-12	
Level 13- 16	

A6 Highest qualification

matric		diploma		degree		Post graduate		Honours degree		masters		Doctorate	
--------	--	---------	--	--------	--	---------------	--	----------------	--	---------	--	-----------	--

A7 current studies

matric		diploma		degree		Post graduate		Honours degree		Masters		doctorate	
--------	--	---------	--	--------	--	---------------	--	----------------	--	---------	--	-----------	--

A8 Does the department pays for your studies?

Yes		No	
-----	--	----	--

Section B

Performance Planning

To what extent do you agree with the following statements? Tick the appropriate box.

Strongly disagree (SD)	Disagree (D)	Somewhat agree (SWA)	Agree (A)	Strongly agree (SA)
---------------------------	--------------	-------------------------	--------------	------------------------

		SD	D	SWA	A	SA
B1	My supervisor and I formulate together performance expectations and goals.					
B2	My supervisor discusses with me objectives and targets of the unit.					
B3	My supervisor informs me about criteria to be utilized during the assessment of performance.					
B4	My supervisor clearly explains what my work entails.					
B5	My supervisor and I collectively develop Performance Development Plan.					

Section C

Performance Monitoring and development						
		SD	D	SWA	A	SA
C1	I meet frequently with my supervisor to discuss work progress.					
C2	My supervisor identifies shortcomings and provides coaching and mentoring.					
C3	Feedback about my performance is offered on a regular basis.					
C4	My supervisor offers constructive feedback.					
C5	Information sharing sessions about my performance with my supervisor encourages me to do extremely well in my tasks.					

Section D

Performance review and Development

		SD	D	SWA	A	SA
D1	I and my supervisor assess progress against performance agreement and work plan.					
D2	Appraisal system helps in identifying my weaknesses and strengths					
D3	I and my supervisor allocate performance rating.					
D4	We discuss jointly rating and reach consensus.					
D5	During the performance review, I and my supervisor plan developmental activities.					
D6	My technical abilities have improved since I joined the department.					
D7	I and my supervisor discuss scoring on Annexure E and F.					

Section E

Rewards and recognitions

		SD	D	SWA	A	SA
E1	My supervisor sends me to developmental workshops as recognition for work well done.					
E2	Employees are given incentives for working beyond expectation/exceeding targets.					
E3	My supervisor encourages me to write motivation for incentives.					

E4	There are transparent incentive and reward policies.					
E5	My supervisor drops e-mail message to apprise me for work well done.					

APPENDIX C: CONSENT TO PARTICIPATE

I have been informed about the study entitled: Analysing the implementation of Performance Management and Development System: a case of Department of Arts and Culture in KwaZulu-Natal by Ndlovu Sikhumbuzo.

I understand the purpose and procedures of the study (add these again if appropriate).

I have been given an opportunity to ask 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 an 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 (provide details).

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:

School of Management, Information Technology, and Governance, University of KwaZulu-Natal, Westville Campus, Email: ndlovusi@kzndac.gov.za; Cell: +27829586950

My supervisor is Dr. Sybert Mutereko who is located at the School of Management, Information Technology, and Governance, Pietermaritzburg Campus of the University of KwaZulu-Natal. Contact details: email sybert@ukzn.ac.za or syberm@yahoo.com, Phone number: Tele: +27332605070, Cell: +27781933022.

The Humanities and Social Sciences Research Ethics Committee contact details are as follows:
Ms. Mariette Snyman, University of KwaZulu-Natal, Research Office, and Tel: +27312603587.

Thank you for your contribution to this research.

Signature of participant

Date

Appendix D1: Informed consent document

Dear Participant,

My name is Sikhumbuzo Ndlovu (Student number: 972190297). I am a Masters candidate studying at the University of KwaZulu-Natal Westville Campus. The title of my research is Analysing the implementation of Employees Performance Management and Development System: a case of Department of Arts and Culture in KwaZulu-Natal. The aim of the study is:

To investigate how performance planning is conducted in the DAC-KZN.

To establish the perceptions of workers regarding the Performance Management processes of monitoring and feedback.

To determine how do employees at DAC-KZN perceive Performance Management review process.

To investigate the perceptions of employees at DAC-KZN regarding the recognition and rewards linked to their performance ratings.

I am interested in interviewing you so as to share your experiences and observations on the subject matter.

Please note that:

- The information provided will be strictly used for academic purposes only.
- You have been selected for this study because you are an employee of the Department of Arts and Culture and the study is about the implementation of EPMDS in the department.
- You may not directly benefit from the study but I can assure you the findings of the study will assist in improving practices of the department.
- Participation in the study is by choice. You may choose to take part, or not to take part or stop participating in the study. You will not incur any penalties in opting for whatever action mentioned.

- Your views in the study will be strictly kept confidential. Your identity will be kept anonymous throughout the study.
- The duration of the interview is thirty minutes.
- The record, as well as other items associated with the interview, will be held in a password-protected file accessible only to me and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.

As an indication to agree to participate in the study, you are kindly requested to sign a declaration form. If you agree to participate please sign the declaration attached to this statement (a separate sheet will be provided for signatures)

•I can be contacted at School of Management, Information Technology, and Governance, University of KwaZulu-Natal, Westville Campus, Email: ndlovusi@kzndac.gov.za ; Cell: +27829586950

My supervisor is Dr. Sybert Mutereko who is located at the School of Management, Information Technology, and Governance, Pietermaritzburg Campus of the University of KwaZulu-Natal. Contact details: email sybert@ukzn.ac.za or syberm@yahoo.com, Phone number: Tele: +27332605070, Cell: +27781933022.

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms. Mariette Snyman, University of KwaZulu-Natal, Research Office, and Tel: +27312603587.

Thank you for your contribution to this research.

Appendix D2 :

Informed consent document

Dear Participant,

My name is Sikhumbuzo Ndlovu (Student number: 972190297). I am a Masters candidate studying at the University of KwaZulu-Natal Westville Campus. The title of my research is Analysing the implementation of Employees Performance Management and Development System: a case of Department of Arts and Culture in KwaZulu-Natal. The aim of the study is to:

To investigate how performance planning is conducted in the DAC-KZN.

To establish the perceptions of workers regarding the Performance Management processes of monitoring and feedback.

To determine how do employees at DAC-KZN perceive Performance Management review process.

To investigate the perceptions of employees at DAC-KZN regarding the recognition and rewards linked to their performance ratings.

I am interested in surveying you so as to share your experiences and observations on the subject matter.

Please note that:

- The information provided will be strictly used for academic purposes only.
- You have been selected for this study because you are an employee of the Department of Arts and Culture and the study is about the implementation of EPMDS in the department.
- You may not directly benefit from the study but I can assure you the findings of the study will assist in improving practices of the department.
- Participation in the study is by choice. You may choose to take part, or not to take part or stop participating in the study. You will not incur any penalties in opting for whatever action mentioned.

- Your views in the study will be strictly kept confidential. Your identity will be kept anonymous throughout the study.
- completing this questionnaire would take between 25 minutes and 35 minutes.
- The record, as well as other items associated with the survey, will be held in a password-protected file accessible only to me and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.

As an indication to agree to participate in the study, you are kindly requested to sign a declaration form. If you agree to participate please sign the declaration attached to this statement (a separate sheet will be provided for signatures)

•I can be contacted at School of Management, Information Technology, and Governance, University of KwaZulu-Natal, Westville Campus, Email: ndlovusi@kzndac.gov.za ; Cell: +27829586950

My supervisor is Dr. Sybert Mutereko who is located at the School of Management, Information Technology, and Governance, Pietermaritzburg Campus of the University of KwaZulu-Natal. Contact details: email sybert@ukzn.ac.za or syberm@yahoo.com, Phone number: Tele: +27332605070, Cell: +27781933022.

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms. Mariette Snyman, University of KwaZulu-Natal, Research Office, and Tel: +27312603587.

Thank you for your contribution to this research.

Appendix D3: Consent to participate

I have been informed about the study entitled Analysis of the implementation of Performance Management and Development System: a case study of Department of Arts and Culture in KwaZulu-Natal by Ndlovu Sikhumbuzo.

I understand the purpose and procedures of the study (add these again if appropriate).

I have been given an opportunity to ask 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 an 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 (provide details).

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:

School of Management, Information Technology, and Governance, University of KwaZulu-Natal, Westville Campus, Email: ndlovusi@kzndac.gov.za; Cell: +27829586950

My supervisor is Dr. Sybert Mutereko who is located at the School of Management, Information Technology, and Governance, Pietermaritzburg Campus of the University of KwaZulu-Natal.

Contact details: email sybert@ukzn.ac.za or syberm@yahoo.com, Phone number: Tele: +27332605070, Cell: +27781933022.

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms. Mariette Snyman, University of KwaZulu-Natal, Research Office, and Tel: +27312603587.

Thank you for your contribution to this research.

Additional consent, where applicable

I hereby provide consent to:

Audio-record my interview / focus group discussion YES / NO

Video-record my interview / focus group discussion YES / NO

Use of my photographs for research purposes YES / NO

Signature of Participant

Date

Appendix E1: Recruitment letter for interviews



School of Management, IT and Governance

Dear Arts and Culture employee

RE: INVITATION TO PARTICIPATE IN A STUDY: ANALYSING THE IMPLEMENTATION OF EMPLOYEES PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM: A CASE OF DEPARTMENT OF ARTS AND CULTURE IN KWAZULU- NATAL.

The above matter bears reference;

As an employee of the Department of Arts and Culture in KwaZulu- Natal, you are invited to take part in the above mentioned study. You have been selected for this interview because you work for the Department of Arts and Culture in KwaZulu- Natal. Your participation will involve giving responses to interview questions regarding the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal. The interview will take you about 25 minutes. Your participation is valued and would enrich the study as I will draw on your insights and experiences to understand the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal.

Regards.

.....

Sikhumbuzo Michael Ndlovu

033 897 9007 or 0829586950

Email: ndlovuSi@kzndac.gov.za

This dissertation research is supervised by Dr. Sybert Mutereko (sybert@ukzn.ac.za) under the auspices of the University of KwaZulu-Natal, School of Management, Information Technology and Governance, Discipline of Public Governance

Appendix E2: Recruitment letter for survey



School of Management, IT and Governance

Dear Arts and Culture employee

RE: INVITATION TO PARTICIPATE IN A STUDY: ANALYSING THE IMPLEMENTATION OF EMPLOYEES PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM: A CASE OF DEPARTMENT OF ARTS AND CULTURE IN KWAZULU- NATAL.

The above matter bears reference;

As an employee of the Department of Arts and Culture in KwaZulu- Natal, you are invited to take part in the above mentioned study. You have been selected for this survey because you work for the Department of Arts and Culture in KwaZulu- Natal. Your participation will involve giving responses to a questionnaire regarding the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal. The survey would take between 30 and 40 minutes of your time. Your participation is valued and would enrich the study as I will draw on your insights and experiences to understand the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal.

Regards.

.....

Sikhumbuzo Michael Ndlovu

033 897 9007 or 0829586950

Email: ndlovuSi@kzndac.gov.za

This dissertation research is supervised by Dr. Sybert Mutereko (sybert@ukzn.ac.za) under the auspices of the University of KwaZulu-Natal, School of Management, Information Technology and Governance, Discipline of Public Governance

Appendix E3: Invitation to participate in the study



School of Management, IT and Governance

Dear Arts and Culture employee

RE: INVITATION TO PARTICIPATE IN A STUDY: ANALYSING OF THE IMPLEMENTATION OF EMPLOYEES PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM: A CASE OF DEPARTMENT OF ARTS AND CULTURE IN KWAZULU- NATAL

As an employee of the Department of Arts and Culture in KwaZulu- Natal, you are reminded that Mr. S. Ndlovu will issue you with questionnaire to fill so as to take part in the above mentioned study. You have been selected for this survey because you work for the Department of Arts and Culture in KwaZulu- Natal. Your participation will involve giving responses to a questionnaire regarding the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal. The survey would take between 30 and 40 minutes of your time. Your participation is valued and would enrich the study as I will draw on your insights and experiences to understand the implementation of Employees Performance Management and Development System (EPMDS) in Kwazulu-Natal.

Regards

.....

Sikhumbuzo Michael Ndlovu

033 897 9007 or 0829586950

Email: ndlovuSi@kzndac.gov.za

This dissertation research is supervised by Dr. Sybert Mutereko (sybert@ukzn.ac.za) under the auspices of the University of KwaZulu-Natal, School of Management, Information Technology and Governance, Discipline of Public Governance.

Appendix F: Clearance letter



Department:
**Arts and Culture
KWAZULU-NATAL**

Box 72396
PIETERMARITZBURG
3200

18 August 2016

Dear Mr. S.M. Ndlovu
Cc: Research Committee UKZN

RE: PERMISSION TO CONDUCT A RESEARCH TITLE ‘ANALYSIS OF THE IMPLEMENTATION OF EMPLOYEES’ PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM A CASE STUDY OF THE DEPARTMENT OF ARTS AND CULTURE IN KWAZULU-NATAL’.

The above matter refers.

Kindly be informed that the Department of Arts and Culture is pleased to grant you a permission to conduct a research, question and interview the Departmental officials about the implementation of Employees’ Performance Management and Development System.

Yours sincerely,

MRS E.S. NZIMANDE
HEAD OF DEPARTMENT: ARTS AND CULTURE
DATE

Appendix F: Language Certificate

TO WHOM IT MAY CONCERN

18 May 2017

I hereby certify that I have edited the language of a master's dissertation by Sikhumbuzo Michael Ndlovu entitled "Analyzing the implementation of the Employees' Performance Management and Development System: a case study of the Department of Arts and Culture in KwaZulu-Natal."

I am Professor Alan Brimer, DLitt (UPE), Professor Emeritus of UKZN.

Yours faithfully,

Alan Brimer



Appendix H: Ethical Clearance



28 September 2016

Mr Sikhumbuzo Michael Ndlovu (972190297)
School of Management, IT & Governance
Westville Campus

Dear Mr Ndlovu,

Protocol reference number: HSS/1492/016M

Project title: Analysis of the implementation of Performance Management and Development System: A case study of Department of Arts and Culture In KwaZulu Natal

Full Approval – Expedited Application

In response to your application received on 08 September 2016, the Humanities & Social Sciences Research Ethics Committee has considered the above-mentioned 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 S

/ms

Cc Supervisor: Dr Sybert Mutereko
Cc Academic Leader Research: Professor Brian McArthur
Cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee

Dr Shanika Singh (Chair)

Westville Campus, Govan Mbeki Building

Postal Address: Private Bag X64001 Durban 4000

Telephone: +27 (0) 31 260 328 / 49607466 / Facsimile: +27 (0) 31 260 4079 Email: sinh@ukzn.ac.za / services@ukzn.ac.za / mp@ukzn.ac.za

Website: www.ukzn.ac.za



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ⁱ Annexure E is the document that is filled by both an employee and supervisor, on half-yearly basis, indicating the performance of employees around agreed upon Key Result Areas (KRA)

ⁱⁱ Annexure F is the document that is filled by both employee and supervisor, annually, indicating the performance of the employees in the entire assessment cycle, around agreed upon KRA.