

**TOWARDS AN IMPLEMENTATION STRATEGY FOR
SENIOR MANAGER PERFORMANCE MANAGEMENT AND
DEVELOPMENT IN THE DEPARTMENT OF PUBLIC
WORKS, ROADS AND TRANSPORT IN THE NORTH WEST
PROVINCE**

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ABSTRACT

The purpose of this research study is to investigate the implementation of the Performance Management and Development System (PMDS) for the Senior Management Service (SMS) members in the Department of Public Works, Roads and Transport (DPWRT) in the North West Province. A mixed method research approach comprising a structured questionnaire and literature review as instruments for data collection, was used to produce a detailed understanding of the topic. The findings of this study revealed the following:

- The results (83%) show that the PMDS is not effectively and properly implemented in this Department. The suggestion is made that there should be a proper and effective alignment of the strategic plan with the Departmental goals and objectives during the implementation phase, supported by a thorough assessment and evaluation of the entire PMDS process to determine the challenges that need corrective action.
- The findings of the study show that Performance Agreements (PAs) are not always signed on time. This implies that every SMS member should be engaged, involved and made aware of the importance of this aspect in the PMDS process.
- The outcome of this study further reveals that a substantial number of SMS members have not been trained in the implementation of the PMDS process. This suggests that all SMS members should be engaged through training to ensure that the department has the skills required to achieve departmental goals.
- Lastly, the findings indicate that only a minority of the SMS members are not assessed of their performance and do not receive feedback on time. The study suggests that employees should be given feedback on their performance in order to know if they are doing what is expected of them and if they are reaching their set targets.

The study recommends that employees should be provided with meaningful engagement in order to eliminate or minimise challenges/obstacles identified in the implementation of PMDS process in aligning it with the abovementioned findings.

Keywords:

Performance management and development, senior management services, senior managers, Department of Public Works, Roads and Transport, performance planning, performance development and training, employee engagement.

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CHAPTER 1: ORIENTATION AND OUTLINE TO THE STUDY.

1.1 INTRODUCTION

Performance management is not a new concept in South Africa. However, there is need to enhance performance management as a way of improving service delivery post the 1994 democratic dispensation. This came as a result of integrating a number of administrations when the new government took over in 1994 (Brekelmans, Poell, and Van Wijk, 2013:313-325). The purpose of this study is to explore ways of improving the performance management and development system (PMDS) as presently applied at the Department of Public Works, Roads and Transport in the North West Province for the Senior Management Services (SMS).

Performance management is critical to effective service delivery. According to the way that the South African government system is structured, provinces and municipalities are identified as the entities that must deliver services directly to the citizenry of the country (Kaisara and Pather, 2011:211-221). The study argues that this places an important mandate to provincial departments. For provinces to deliver services effectively, they need competent and highly motivated staff. The study intends to prove that competence and motivation are further enhanced through employee engagement, as described in the subsequent chapters.

The study argues that senior managers, specifically, are at the centre of ensuring that services are delivered as expected. This research investigates the manner in which the PMDS for the (SMS) members, or SMS, is implemented within the Department of Public Works, Roads and Transport and the associated challenges experienced during the implementation thereof.

1.2 ORIENTATION

The research concerns the identification of challenges in the implementation of the PMDS for SMS in the Department of Public Works, Roads and Transport, Roads and Transport in the North West Province. In January 2001, the South African government took a conscious decision to establish (SMS) with the sole purpose of ensuring that competing policy considerations and mandates are managed and

implemented in a seamless manner with the ultimate purpose of benefiting communities at large(Public Service Commission (PSC), 2011:8).

According to section 50 of Public Service Regulations, 2001, the SMS band comprises employees who immediately before 01 January 2001 were remunerated on salary level13 and higher, and appointed to the SMS on or after 01 January 2001 to those levels. According to the Department of Public Service and Administration (DPSA) Circular (2003:1-8) the SMS in the Public Service constitutes directors, chief directors, deputy directors general and directors general. The SMS is governed in terms of the Public Service Act, 1994 (Proclamation 103 of 1994), the Public Service Regulations, 2001, as well as relevant collective agreements and circulars. These include resolutions of the Public Service Co-coordinating Bargaining Council (PSCBC), the Treasury Regulations, 2003and the White Paper on Transforming Public Service Delivery (DPSA, 2006:2-5) as discussed in later chapters.

Section 195(1) (a-i) of the Constitution of the Republic of South Africa, 1996, (herein after Constitution, 1996) sets out the nine basic values and principles governing public administration, namely that:

- a high standard of professional ethics must be promoted and maintained;
- efficient, economic and effective use of resources must be promoted;
- public administration must be development-oriented;
- services must be provided impartially, fairly, equitable and without bias;
- people's needs must be responded to, and the public must be encouraged to participate in policy-making;
- public administration must be accountable;
- transparency must be fostered by providing the public with timely, accessible and accurate information;
- good human-resource management and career-development practices, to maximise human potential, must be cultivated;
- public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectively, fairness, and the need to redress the imbalances of the past to achieve broad representation.

These values guide the PMDS in the Public Service by focusing on the manner in which sound human resource management practices (including the PMDS of SMS) should be conceptualised. Section 26 of the White Paper on Human Resource Management in the Public Service, 1997, stipulates: “Every employee’s performance will be assessed at least once annually against mutually agreed objectives. The assessment process will be aimed at identifying strengths and weaknesses in order to recognise and reward good performance, and manage poor performance” (South Africa, 1997). This means that managing performance is a key human resource management tool ensure that improved performance (Antonakas, Konstantopoulos, and Seimenis, 2014:455-462).

According to Al-Sinawi, Piaw, and Idris (2015:23-30), managing performance is a key human resource management tool to ensure that:

- employees know what is expected of them;
- managers know whether the employee’s performance is delivering the required objectives; and
- poor performance is identified and improved

Section 14 of the Public Service Act, 1994 (Proclamation 103 of 1994) regulates the terms and conditions of employment in the Public Service and provides that an executive authority such as minister shall have those powers and duties regarding the performance management of employees for an office or department. The DPSA designed the Government Employee PMDS in 2005 (GEPMDs) to assist with performance management in a department through the functioning of a performance management system for post levels 1 to 12. Even though the GEPMDs is not mandatory, the system is linked to the SMS PMDS, of which key elements are prescribed for SMS members. The integration of a PMDS with other departmental processes is an imperative (Wan and Chan, 2013:348-358).

All other systems and processes should support or be informed by effective performance management and a focus on the continuous improvement of performance is emphasised. A further key determinant of success is that the PMDS is driven from the highest level in the department (DPSA, 2006:5). The study argues

that the PMDS for SMS is therefore critical to the effective and efficient functioning of public departments.

As provided for in the PMDS (DPSA, 2003:67), the following processes should be taken into account in managing performance at departmental level:

- Strategic planning and performance agreement (PA) assessments and job descriptions for all posts are called for and should be based on the main objectives of a post. PAs are finalised prior to the commencement of a financial year and are directly related to the department's strategic and operational plans. PAs for operational workers are linked to those of the SMS members. Reviews of achievement against departmental strategic objectives and business plans coincide with individual quarterly performance reviews to enable individual and departmental performance to be more effectively linked.
- A competency framework which is a set of generic management competencies should apply to all members of the SMS. These core generic competencies help build a common sense of good management practice in the Public Service, inform performance management and assist in the identification of development needs of members of the SMS.
- Management development, which entails that managers are to take responsibility for results and Pas, reviews and appraisals, afford supervisors the opportunity to provide feedback and form a basis for a decision on whether a member of the SMS has quantitatively and qualitatively surpassed the agreed upon objectives. This simultaneously plays a key role in effective management development, for example by looking for ways of improving what had been achieved. The Senior Management Service (SMS) Handbook (DPSA 2003:69) stresses that the role of the appraisal in enabling the determination of rewards and key career incidents should not overshadow the developmental orientation of the PMDS. The key purpose of PAs, reviews and appraisals is for supervisors to provide feedback and to enable managers to find ways of continuously improving achievements (DPSA, 2003:69).

The study therefore argues that any implementation of the PMDS, which does not take the above listed processes into consideration, will not be fully successful. The absence of any of these processes may cause a number of challenges in the

successful implementation of PMDS. In achieving the above the head of the department's role is *inter alia* to (DPSA, 2003:69):

- ensure that the PMDS is communicated among all members of her/his SMS team and to ensure that there is a link between the PMDS and the rest of the department;
- lead by example, complete and adhere to her/his PA and ensure compliance by all SMS members to their PAs;
- build a culture of performance and open discussion in her/his department to enable the PAs to be fully and appropriately developed and implemented;
- ensure that all the strategic resources are effectively utilised and other planning processes are efficiently run in order to support implementation of the departmental strategic plan;
- require of every SMS member to prioritise the correct implementation of the PMDS; and
- make decisions based on recommendations, whether they are for recognition or sanction, and take final decisions on sanctions, especially where they are disputed.

In fulfilling the above, the role of all members of the SMS is to (DPSA, 2006:6)

- ensure that they complete and implement their own PAs; and to
- ensure that all operational workers are responsible for the completion and implementation of their own PAs and Integrated Personal Development Plans (IPDPs).

The implementation of the PMDS for SMS members cannot be completed without the inclusion of their own PAs. The content of PAs for SMS should clearly and directly be devolved from and be related to the department's strategic plan and the plans of the specific unit for the coming year. Individual performance assessments should, therefore, be informed by and, in turn, inform the evaluation and review of departmental unit's achievement over the preceding period. Jobs will need to be designed, analysed and evaluated in terms of the human resources plan and job profiles developed for each job (DPSA, 2006:6). The profiles, PAs and the outcomes of performance reviews and appraisals must, in turn, become the basis for staff

development plans. The head of the department is responsible for ensuring that these systems are implemented in an integrated way in line with the department's strategic objectives, and that departmental information systems support easy access to, and integration of, information (DPSA, 2006:7).

From the above, it can be argued that the most significant aspect of the PMDS is that it is not a single track activity. Rather, it is integrated with other activities of the department, such as the processes of drafting departmental strategic plans, operational plans, PAs as well as work plans of SMS members.

Lockett (1992:19-20) contends that an individual's measurable performance cannot exceed their competence. Lack of competence is a barrier which may prevent people from reaching a higher level of performance. People cannot perform as well in areas where they have little ability or potential as they can in areas where they have higher skill and knowledge levels. Ultimately, competence forms part of a person's capacity to perform.

The future competitiveness of the departments and their ability to deliver quality services to their clients depend on the level of competence exhibited by its employees. Departments are entitled to satisfactory work performance from members of the SMS. Should the performance of a member of the SMS fail to comply with required standards in this regard, departments are obliged to apply the applicable incapacity code and procedures in order to appropriately address the situation (DPSA, 2006:8-9).

The performance of a member of the SMS should be reviewed on a quarterly basis, with the understanding that such reviews may be verbal if the SMS member's performance is satisfactory. However, a minimum of two formal reviews must take place during the course of the year (one preferably in the middle of the performance management and development cycle and the other towards the end of the cycle), linked to the review of the department's or unit's strategic/operational plan (DPSA, 2006:13).

As mentioned earlier, all members of the SMS must have a personal development plan, included as part of the PA (DPSA, 2006:13).The criteria, upon which the

performance of a member of the SMS must be assessed, shall consist of two components, both of which shall be contained in the PA. Each SMS member must be assessed against both components, with a weighting of 80:20 allocated to the Key Result Areas (KRAs) and the Core Management Criteria (CMCs) respectively. Each area of assessment will be weighted and will contribute a specific part to the total score (DPSA, 2006:13).

The eleven CMCs (see Table 1.1) of the SMS could be used to determine expected performance standards in PAs and to assess achievement through performance review and appraisal meetings (DPSA, 2006:6). Employers should also understand that, when issues concerning underperformance are not addressed and managed both appropriately and sensitively, they can lead to unhealthy and unproductive outcomes that may affect the entire workplace (Fair Work Ombudsman, 2011:8).

Table 1.1: Description of Core Management Competencies

Generic Core Management Competency	Description
Strategic Capability and Leadership	Provides a vision, sets the direction for the organization and/or unit and inspires others to deliver on the departmental mandate
Program and Project Management	Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes.
Financial Management	Compiles and manages budgets, controls cash flow, institutes risk management and administers tender procurement processes in accordance with generally recognised financial practices in order to ensure the achievement of strategic departmental objectives.
Change Management	Initiates, supports and champions departmental transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments
Knowledge Management	Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the department.
Service Delivery Innovation	Champions new ways of delivering services that contribute to the improvement of departmental processes in order to achieve departmental goals.
Problem Solving and Analysis	Systematically identifies analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner.
People Management and Empowerment	Manages and encourages people, optimizes their outputs and effectively manages relationships in order to achieve departmental goals.
Client Orientation and Customer Focus	Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service (Batho Pele) into practice
Communication	Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.
Honesty and Integrity	Displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service

Source: DPSA (2003:137)

From the above discussion it is clear that the implementation of the PMDS for SMS in the Public Service, including the North West Department of Public Works, Roads and Transport, Roads and Transport, should be evaluated once annually against the processes set out in terms of legislation and policy guidelines.

1.3 PROBLEM STATEMENT

According to Dingwayo(2007:2) the Public Service Management Framework (PSMF) was implemented with effect from 01 July 1999. In accordance with this Framework, executive authorities have been granted extensive powers relating to the day-to-day management of their departments. These powers relate, *inter alia*, to appointment and other career incidents of public servants (Dingwayo, 2007:2). Given the labour intensive nature of the Public Service, it is critical that the optimal performance of its public servants, including SMS members, is ensured(PSC, 2007:2). Whilst this is true, public servants may not always perform optimally.

According to the Fair Work Ombudsman (2011:1-2) some of the common reasons for poor performance include:

- an employee does not know what is expected of him or her because goals and/or standards or workplace policies and consequences are not clear;
- interpersonal differences;
- there is a mismatch between an employee's capabilities and the job he/she is required to undertake, or the employee does not have the knowledge or skills to do the job expected of him or her; and
- an employee does not know whether he/she is doing a good job because there is no counselling or feedback on his/her performance.

In addition the Fair Work Ombudsman (2011:8) states that failure to perform the duties of the position to the standard required, non-compliance with workplace policies, rules or procedures, unacceptable behaviour in any workplace and disruptive or negative behaviour that impacts on co-workers also contribute to challenges in the implementation of performance management systems (Fair Work Ombudsman, 2011:8). Whilst it cannot be denied that efforts are taken by the Department of Public Works, Roads and Transport, in the North West Province to

deal with the above stated challenges, it is argued that the inadequate PMDS for SMS in the Department is a contributing factor to poor performance of the Department.

In 2008 the PSC conducted a study on the implementation of the PMDS for SMS in the North West Province. In accordance with the report on this study, the effective implementation of PMDS for SMS requires enabling departmental mechanisms that support and drive the performance management and development processes (PSC, 2008:6). Enabling mechanisms include the provision of guidance and support to SMS members on the implementation of the PMDS. The study found that the support and guidance provided was regarded as inadequate by the SMS (PSC, 2008:6). Furthermore, performance reviews did not receive proper attention (PSC, 2008:8). The problem statement driving this study is to determine the challenges affecting the implementation of the PMDS for SMS members in the North West Department of Public Works, Roads and Transport.

1.4 RESEARCH OBJECTIVES

The objectives of this research study are:

- to describe the legislative and policy environment that supports the effective implementation of the PMDS for the SMS of the Department of Public Works, Roads and Transport in the North West Province;
- to determine the challenges in conducting regular performance reviews and an annual performance appraisal for members of the SMS in the Department of Public Works, Roads and Transport in the North West province; and
- to propose an employee engagement strategy that can be considered in order to ensure that the implementation of the PMDS for SMS in the Department of Public Works, Roads and Transport in the North West Province is successful.

1.5 RESEARCH QUESTIONS

The research questions in this research study are as follows:

- How does the regulatory/statutory environment support the effective implementation of the PMDS for the SMS of the Department of Public Works, Roads and Transport in the North West Province?
- What are the challenges in conducting regular performance reviews and annual performance appraisals for SMS in the Department of Public Works, Roads and Transport in the North West Province?
- What recommendations can be made in order to ensure that the implementation of the PMDS for SMS in the Department of Public Works, Roads and Transport in the North West Province is successful through enhanced employee engagement?

1.6 CENTRAL THEORETICAL STATEMENTS

The PMDS that manages underperformance is effective for both a department and its employees. Employers who are best in performing effectively are aware that an ineffective PMDS can dramatically reduce the level of performance in a workplace. A lack of credibility with the PMDS process can be an indication of an inadequate conceptualisation of a PMDS. A consistent approach to PMDS provides opportunity to address problems and generate effective solutions (Fair Work Ombudsman, 2011:2).

Senior managers' importance and roles as leaders require of them to implement performance management and development correctly at all times. In order for performance management and development to be effective, it must be line-driven rather than driven by the human resource division of a department. The development of a PMDS should be a joint effort between line and human resource managers (Fair Work Ombudsman, 2011:2). The argument is made that if the PMDS for SMS members is not appropriately implemented the responsibility that SMS members have towards ensuring the implementation of PMDS for their subordinates may be negatively affected.

The purpose of the PMDS in South Africa is to contribute to the improvement in performance of public servants across the Public Service by aligning individual and team performance with the goals of the department, through greater clarity in setting objectives and related performance targets for individuals and teams, and by monitoring progress in their achievement. Performance management and development is one of the key processes that, when effectively carried out, helps employees to know that their contributions are recognised and acknowledged. Performance management and development is an on-going process of communication between a supervisor and an employee that occurs through the year, in support of accomplishing the strategic objectives of the departments. The communication process includes clarifying expectations, setting objectives, identifying goals, providing feedback and evaluating results (Dingwayo, 2007:2). In the subsequent section the research methodology employed for the study is described.

1.7 RESEARCH METHODOLOGY

Imenda and Muyangwa(2000:112) state that the research methodology provides details regarding how the research is to be conducted. The following section describes the approach and design to the study, followed by analysis of instruments to be used during data collection as well as the strategy for data analysis.

1.7.1 Approach to and design of the study

The research process for this study was accomplished in two parts or phases. First, the theoretical phase process in which a literature review was undertaken with the aim of exploring and establishing a theoretical understanding PMDS. The review established the general conceptual understanding of pertinent PMDS terms especially as these apply to Public Service departments. In addition, the literature review examined a number studies relating to human resource management activities in the South African Public Service. The data collected in the literature review provided as argued by(Dematteo, Festinger, andMarczyk,(2005:48) an insight into and understanding of the research questions and further, provided the necessary background information which guided the empirical process of the study.

The second phase of the research process was the empirical phase which was comprised of the research design and methods for the study. The research design depends on the questions of interest, the category of primary and secondary data a researcher is likely to use, the audience targeted, the geographical coverage of the study and the costs involved(De Leeuw and Hox, 2011:45-76). Judging from the nature of the study the most appropriate design for this study was a mixed method research (MMR).

MMR combines both quantitative and qualitative designs in the same research study (Caruth, 2013:112-122; Teddlie and Tashakkori, 2009:7). This method evolved in response to the observed limitations of both quantitative and qualitative designs. (Johnson, Onwuegbuzie, and Turner, 2007:112-133) assert that MMR is “the type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purposes of breadth and depth of understanding and corroboration.”

Creswell and Clark(2007:5) also state that as a design MMR involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative combined methods provides a better understanding of research problems specifically related to practical problems.

MMR can present a number of challenges to researchers that may choose to use it as a design for their study. First, researchers who normally use this design must have a working knowledge of both quantitative and qualitative methods designs to combine the methods effectively. In addition, MMR is time-consuming, extensive, and may necessitate the use of a research team(Creswell, 2003). For the purpose of the study choosing a single case study (SMS employed in the North West Department of Public Works, Roads and Transport) in which mixed methods were used for data collection meant that a single researcher could effectively design and implement both methods during data collection and analyses. The population involved in the study is now described.

1.7.2 Population

A population is a group of elements or causes, whether individuals, objects or events, that conform to specific criteria and to which the intention is to generalise the results of the research (McMillan, 2001:169). The Department of Public Works, Roads and Transport, in the North West Province, like all other provincial departments, consists of SMS that include the director general, deputy directors general, chief directors and directors (26 in total). The total population was included in the research. A breakdown of the demographic profile of SMS members according to race and gender is provided in for in Table 1.2.

Table 1.2: Demographic profile of SMS members

Gender		Age		
Female	Male	30 – 39	40 - 49	50 - 59
5	13	5	12	1

The following section details the instruments or methods used during the collection of data.

1.7.3 Instruments used in data collection

As with any MMR design this study combines qualitative (documents as sources of data) with a quantitative instrument (structured questionnaire). Both these instruments are further described below.

1.7.3.1 Documents as sources of data

Documents as sources of data include published information in a particular area, and sometimes information on a particular subject area within a certain period. Documents can be organised as a summary of resources, but it is usually presented as a literature review which follows an organised pattern (theme) and combines both summary and synthesis (University of North Carolina, 2008 as cited in Zondani, 2008) The following are considered as advantages of a literature review (University of North Carolina, 2008 as cited in Zondani 2008:8):

- the daily activities of the participants in the research are not disturbed; and

- data can be easily obtained as everything is already in writing.

The disadvantages of a literature review are identified as (University of North Carolina, 2008 as cited in Zondani, 2008:8):

- the review of numerous books, reports, documents and acts is time consuming; and
- written material is not regarded as first hand material as opposed to, for example, interviews or personal observation.

The above disadvantages are addressed by using structured questionnaires to supplement information derived from the literature review. The literature review resulted in the identification of specific themes related to the topic upon which questions were developed and presented to research participants through the structured questionnaire. Relevant publications such as articles, journals, books, internet sources and dissertations were consulted to inform the research study. These publications include the consultation of primary literature as sources of original information. The primary literature was drawn from journal articles and internet sources. Secondary literature includes books, government publications, review articles, reports on performance management and development and research reports. A preliminary assessment of literature on this research study was conducted and indications were that sufficient literature and material were available to conduct research on this topic.

1.7.3.2 Structured questionnaire

According to Denscombe (2010:156), a structured questionnaire, as a data collection instrument, is designed to collect information which can be used later as data for analysis. A questionnaire does not set out to change its subjects' attitudes, or to provide them with information that could guide them in responding to questions. A structured questionnaire consists of a set of written questions, which are identical for all respondents. A good questionnaire gathers information from respondents by asking them directly about points relevant to the research (Denscombe, 2010:156). Twenty six questionnaires were distributed to SMS and 18 were returned, resulting in a 69,2% response rate.

The semi-structured questionnaire (Annexure A) was administered to solicit responses from SMS within the Department of Public Works, Roads and Transport in the North West Province. The questions were broadly categorised under the themes of legislative and policy environment; performance planning; performance monitoring and feedback as well as training and development. Specific questions asked in the questionnaire required respondents to indicate their agreement or disagreement with regard to understanding their legislative obligations. A five-point Likert scale was used to determine the level of agreement or disagreement with each statement made. Responses are thematically analysed in Chapter Three of this study.

1.7.4 Ethics

This research study has to ensure openness and trust with participants and in order to do so, the researcher had to inform the respondents about the purpose and objectives of the research study, how data would be collected and how it would be used (De Vos, Strydom, Fouche and Delport, 1998:261). In this regard, a letter of consent was signed by all participants, indicating their voluntary participation, while consent was sought from the Head of Department for gathering information about and from the SMS.

1.7.5 Data analysis strategy

This research study is MMR which means that analysis encompasses the qualitative identification of themes through the literature review and quantitative data analysis of structured questionnaire so as to produce a detailed understanding of the topic. Walliman (2011:113) describes quantitative data analysis as a way to deal with data in the form of numbers and it uses mathematical operations to investigate their properties.

According to Walliman (2011:113) quantitative data analysis can be used for, among others, measuring, making comparisons, examining relationships, making forecasts, testing hypotheses, constructing concepts and theories as well as explaining phenomena. Since this study is MMR, the central theoretical statements described in Section 1.6 of this Chapter are provided as qualitative foundation for the identification of qualitative themes. Relationships and challenges relating to the implementation of

PMDS for SMS members are then both qualitatively and quantitatively described and explained. This data analysis strategy is appropriate to the study in that this research seeks to examine not only which relationships exist that are detrimental to the implementation of the PMDS for SMS members, but also to conceptualise and contextualise these relationships through the provision of literature. Relationships are first thematically described upon which quantitative analyses are provided. The following section addresses the significance of the research.

1.8 SIGNIFICANCE OF THE STUDY

This research study is of significance as it adds to the academic content that informs the performance management and development of the SMS in the South African Public Service. Literature has shown that there are numerous studies that have been conducted about performance management in general, but nothing has been academically published about the PMDS for the SMS in the North West Province.

1.9 CHAPTER LAYOUT

Chapter One presents the orientation and statement of the problem, research objectives, research questions, the central theoretical statement and research methodology. Chapter Two describes the legislative and policy requirements enabling the performance management and development of SMS in the Public Service. The dimensions of the PMDS and the link between strategic planning and performance management and development are also analysed. The purpose of the chapter is to provide for the theoretical foundation for the performance management and development of senior managers in the Public Service.

Chapter Three identifies the challenges of implementing the PMDS for SMS in the Department of Public Works, Roads and Transport in the North West Province. The challenges, thematically conceptualised, include a further discussion regarding the failure by the SMS to attend management development programmes, the non-compliance to performance management processes, the lack in the understanding the process of performance management itself, and the weak human resource components that are unable to support the SMS in the implementation of performance management.

In Chapter Four recommendations are made to address the challenges related to the implementation of the PMDS for the SMS in the Department. The proposed recommendations address the aspect of collaboration between the Department of Public Works, Roads and Transport and the Department of the Premier in the North West Province so as to ensure compliance in respect of the policy on performance management and development. Chapter Five draws conclusions and propose recommendations for the improved implementation of the PMDS for the SMS in the Department of Public Works, Roads and Transport in the North West Province.

1.10 CONCLUSION

Chapter One provides for the orientation to this study. To that extent, an outline of the problem statement, the objectives of the study, the research questions, the central theoretical statements as well as the research methodology are explored. The extent to which the Department of Public Works, Roads and Transport, Roads and Transport in the North West Province facilitates the appropriate implementation of PMDS was highlighted as the core of the problem statement to be investigated.

The three research questions identified for this study pointed at probing how the regulatory environment was used to support the implementation of PMDS in the Department of Public Works, Roads and Transport, Roads and Transport, what the challenges were in conducting regular performance reviews and annual performance appraisals for SMS in the Department and the recommendations that could be made to ensure the implementation of PMDS for SMS at the Department of Public Works, Roads and Transport, Roads and Transport. The following Chapter focuses on a review of legislative and policy frameworks relevant to this study as well as a theoretical review of the extant literature.

CHAPTER 2: A THEORETICAL OVERVIEW OF PERFORMANCE MANAGEMENT AND DEVELOPMENT

2.1 INTRODUCTION

This Chapter sets out to review the literature on PMDS in the South African Public Service, paying particular attention to the SMS, which was established in 2001 to manage and implement competing mandates, policies and programmes in an effective and efficient manner to benefit communities. The SMS was supported to do this by means of specifically targeted vigorous recruitment strategies that incorporate training and development programmes aimed at rewarding and retaining competent managers who performed well and continued to be innovative (DPSA, 2003:4).

The PMDS was introduced as a critical tool designed to measure and assess employee performance towards the achievement of government priorities and programmes as well as to identify the shortfalls, gaps and challenges. The PMDS, thus, can be seen as a compulsory policy instrument that incorporates performance planning, monitoring and evaluation in the implementation of government policies and priorities (DPSA, 2003:4). This Chapter is therefore three-fold. Firstly, it highlights the legislative context through which performance management and development for SMS became a reality and necessary tool. Secondly, the Chapter deals with the discussion of terms and the context within which they are applied in this study. Thirdly, the various activities of performance management and development are discussed in ways that add to the importance and significance of this research.

2.2 THE LEGISLATIVE AND REGULATORY FRAMEWORK

The Constitution, 1996, is the supreme law of the country and in terms of Section 2, any law or conduct inconsistent with the provisions thereof is invalid, while all the obligations imposed by the Constitution, 1996, must be fulfilled. The state is legally obliged to respect, protect, promote and fulfil the rights of every citizen in terms of Chapter 2 of the Constitution, 1996 (Bill of Rights). Chapter 10 of the Constitution, 1996, outlines the basic values and principles governing public administration in the Republic, as was described in Chapter One. As identified previously, one of the basic values and principles governing public administration, contained in Section 195 (1)

(h) of the Constitution, 1996, states that sound human resource management and career practices must be cultivated. The study argues that the implementation of an effective PMDS for SMS is, therefore, a constitutional obligation for all departments. The Constitution, 1996, further gives powers to the PSCs stated in Chapter 10, Section 196 (4)(c) to propose measures to ensure effective and efficient performance within the Public Service. The Report on the Implementation of the PMDS for SMS in the North West Province (PSC, 2011:11), states that the PSC plays a supervisory role in seeking to assess and ensure the following:

- compliance by SMS members with regard to the timeous completion and signing of PA, as determined by the regulatory framework;
- the alignment of KRAs to the vision, mission and strategic plans of departments and to the PA of heads of departments (HoDs), cascading down to the SMS levels;
- the implementation and management of PAs within the context of the PMDS;
- the identification of trends and challenges in the implementation of the PMDS by departments; and
- the identification of best practices on the application of PMDS for benchmarking within the Public Service.

The White Paper on Human Resource Management for the Public Service, 1997, defines performance management as an integral part of an effective human resource management and development strategy and as an on-going process, in which the employee and employer, together, strive constantly to improve the employee's individual performance and his or her contribution to the department's objectives. The White Paper on Human Resource Management for the Public Service, 1997, recognises that the success of the Public Service in delivering its operational and developmental goals depends primarily on the efficiency and effectiveness with which employees carry out their duties (South Africa, 1997). According to the PMDS Policy (Rogerson, 2011:149-168), the Key Result Areas (KRAs) should be aligned with the strategic and operational goals of the department and this includes alignment with the Annual Performance Plan (APP).

The Public Service Act, 1994 (Proclamation 103 of 1994) Chapter 2, Section 3 (7) assigns specific obligations to the executive authority (EA) in relation to the establishment and functioning of departments, including their performance management, performance development and the dismissal of employees. Chapter 3 of the Public Service Act, 1994 (Proclamation 103 of 1994), Section 7 (3) (b) assigns the HoD the following responsibilities which are absolutely vital in the running of departments and therefore to the PMDS for SMS members including:

- efficient management and administration;
- effective utilisation and training of staff;
- maintenance and discipline;
- promotion of sound labour relations; and
- proper use and care of state property.

Further obligations for the executive authority and HoDs are contained in Section 5 of the Public Service Regulations, 2001, which stipulate measures that govern the PAs of HoDs and determine performance managements systems for SMS (from the levels of director, chief director, deputy director-general and director general). Alongside these Regulations, 2001 are the collective agreements contained within the PAs of SMS, which in terms of the PSCBC Resolution, 1998, prescribe the following:

- key duties and responsibilities;
- output targets for the PA period;
- dates for performance reviews;
- effective salary increment dates and management mechanisms for awarding increases; and
- personal development plans.

The study argues that through the Public Service Regulations, 2001 and the PSCBC Resolution, 1998, described above the aspects of importance in the PMDS of SMS members are identified. The Treasury Regulations, 2003 (Part 3) comprise another framework within which performance management and development ought to be effected in all Public Service departments. The accounting officer provides for strategic planning and budgeting in an advisory and mandatory manner allowing for the elements of flexibility and consistency during the implementation process (South

Africa, 2003: Section 5). The argument can be made that the PMDS for SMS members needs to be strategically aligned and integrated into all departmental processes to ensure the proper realisation of departmental strategic planning.

The SMS Handbook (DPSA, 2003:2) was published to give effect to legislation, as a change management tool designed to equip SMS with the necessary competencies in planning and management; implementing competing policy considerations, tracking progress, reflecting and reporting on performance management in their departments or throughout the entire Public Service. Chapter Four of the SMS Handbook (DPSA, 2003:2) describes the process and requirements of PMDS for members of the SMS. According to the SMS Handbook (DPSA, 2003:15) strategic planning and performance assessment should be managed properly.

The content of PAs should be clearly and directly devolved from and be related to the department's strategic/operational plan and the plans of the specific unit for the coming year. In practice this entails that departments should aim to have their plans prepared prior to the commencement of the financial year. This will enable relevant and appropriate PAs to be developed for members of the SMS and, if applicable, for other officials (DPSA, 2003:6). The legislative requirements contained in the acts and policies described above provide an enabling environment for the implementation of the PMDS for SMS members. The study argues that the legislative and policy environment support the PMDS by detailing the processes and procedures necessary for the successful implementation thereof. The study acknowledges that inherent in the legislative framework is the concept of employee engagement as requirement for ensuring the implementation of the PMDS. Understanding the legislative and policy requirements will, however, not be enough if the concept itself is not completely understood. The following section thus provides a theoretical description of performance management and development within the context of the Public Service.

2.3 PERFORMANCE MANAGEMENT AND DEVELOPMENT

The SMS Handbook (DPSA, 2003:92) describes PMDS as being fundamentally an approach to how work is done and organised, rather than being a system. However, there is no clear cut definition of performance management and development, but the

study provides several definitions which highlight the important aspects associated with performance management and development.

Performance management is a process which significantly affects departmental success by having managers and employees working together towards the realisation of set expectations, the review of performance results and the reward of performance (Grobler, 2011:293). As Cokins (2009:43) maintains, performance management is a much wider concept which now encompasses the improvement of performance rather than just the management side of it, and comprises a set of techniques used by managers to plan performance, communicate expectations, observe performance, document performance, provide feedback, empower employees to develop skills, direct and improve the performance of subordinates in line with achieving the overall objectives of the department.

Bacal (1999:3) argues that performance management is not simply the appraisal of individual performance; it is an integrated and continuous process that develops, communicates and enables the future direction, core competences and values of the department to take precedent over everything else. Williams (2002:15) maintains that performance management is a system that identifies who or what delivers the critical performance with respect to departmental strategy and objectives and ensures that performance is successfully carried out. Effective performance management ensures that employees and managers understand each other's expectations, and how departmental strategy and objectives impact their own context – their roles, behaviours, relationships and interactions, rewards and futures.

Chapter Four of the SMS Handbook (DPSA, 2003:1) states that performance management and development constitute part of an integrated framework of systems and processes for:

- aligning strategic intentions, decisions and activities across and within public service departments linking day-to-day activity and strategic goals;
- aligning the departments and management framework of individual departments towards achieving improved effectiveness, and for assessing its effectiveness both in terms of specific results and outputs and the impact of those on the lives of citizens; and

- aligning all those human resource processes, systems and practices designed to recruit; retain, support and develop individual staff employees and setting them up to succeed.

From the above, it can be argued that the PMDS serves as a planning tool in terms of being a capacity building process for SMS members and employees within the Public Service. At the end of the process all SMS managers and their subordinates are rewarded accordingly and in terms of content.

Kaplan and Norton(2007:150) maintains that performance management ensures that employees and managers know how to meet their expectations and goals, in terms of which the following are developed and carried out:

- departmental, unit, team and individual objectives;
- performance appraisal system;
- reward strategy and scheme;
- training and development strategies and plans;
- feedback, communication and coaching strategies;
- individual career plans; and
- mechanisms for monitoring the effectiveness of the performance management system and development intervention.

In terms of the above, it is clear that performance management encompasses the effective day-to-day management and support of employees. This is not simply concerned with appraisal forms, procedures and interviews, or the paternalistic evaluation by a superior of a subordinate's performance, but the aligned and integrated performance of the entire department. Employee commitment and performance are secured through a mutually supportive strategy of rewards-driven integration, developmental integration and culture management(Kaplan and Norton, 2007:150). In other words, management must design performance incentives to reward those workers who are able to achieve their set target, without exploiting them, but with the purpose of developing them. As a result the employees will exemplify a performance-driven departmental culture. The study argues that performance management and development should be conceptualised as to include not only the planning and communication of performance expectations, but also the

feedback and development support to positively affect not only individual performance but departmental performance as well. Feedback and development will specifically enhance employee engagement with the PMDS and hereby ensure both ownership as well as the implementation thereof.

Senior managers are appointed to achieve results by managing the performance of their departments, teams and individual employees. In carrying out this responsibility for managing performance, the aim of SMS is to contribute to the improvement of the overall performance of the department by getting better results from their teams, employees and individuals (Pfeffer and Sutton, 2006:3). Within this context performance management delivers clarity about expectations, provides linkages between individual and departmental objectives with a specific focus on improvement, whilst establishing what data is required to achieve improvement and what is helpful in the shape of feedback (Pfeffer and Sutton, 2006:3)

Given the various definitions promoted by writers, this research therefore defines performance management as a strategic and integrated approach to increasing the effectiveness of departments by improving the performance of the people who work in them and by developing the capabilities of teams and individual employees. Performance management should not be seen as an end in itself, but one of the dimensions that can be used in improving the performance of the department. Performance management should address the needs of both the department and its employees.

The direction that performance management seeks to take is to move from a rigid controlling process to an enabling environment (Rudman, 2004:9). Senior managers have to answer the question of how can they help individual employees to realise their potential. They have to be involved in helping individuals understand what skills they need to achieve enhanced development. Managing performance is a natural process of management which is not just a matter of filling an elaborate form once a year and then conducting appraisals to produce a rating determining a pay increase. Managing performance is about raising performance not rating performance which represents a continuous process not an annual event (Webb, 2003:4). The study argues that if the performance of SMS members is not managed and developed appropriately, they will, in turn, not be willing or capable to do the same for their

subordinates, which means that departmental performance could be detrimentally affected. The above illustrates the importance of employee engagement. Should SMS members not be engaged in their own PMDS then trying to engage their subordinates in their GEPMDS becomes challenging.

Managing performance is therefore a key human resource management tool that ensures that employees know what is expected of them (Rudman, 2004:9). Managers also know whether the employee's performance is aligned to meeting the required objectives. Poor performance is recognised and strategies proposed for improvement. Good performance is recognised and rewarded. Communication is absolutely vital and extremely effective as a way to develop the employees' confidence and strong supervisory–subordinate relationships(Nisiforou,Poullis, and Charalambides, 2012:299-311).

Performance management is characterised by the influence that the strategic objectives of the department has on the unit, team and individual performance objectives. The pursuit of employee commitment to the department's strategic direction has come to dominate management agendas(Wang, Tsui and Xin, 2011:92-105). When employees are committed to a department, they are likely to contribute significantly in terms of high performance, being reasonably satisfied and willingly accept change, and therefore remain in that department for a long period(Pulakos, 2009:7). For this to happen, it becomes important that performance management and development should follow a particular process. The following section looks at the performance management and development processes.

2.4 PERFORMANCE MANAGEMENT AND DEVELOPMENT PROCESS

The SMS Handbook (DPSA, 2003:94) states the key principles of performance management as the:

- management of performance by departments in a consultative, supportive and non-discriminatory manner to achieve departmental goals;
- linking and aligning of management processes and goals to employee development plans;

- ensuring of performance management process that ineffective, consistent, adequate and developmental in recognising and addressing inadequate performance; and
- performance management process that is transparent and fair and also not cumbersome to those charged with their implementation.

Following from the above, as Schwella and Rossouw (2005:761-779) maintain, the PMDS refers to a combination of the growth potential of an individual in meeting the needs and performance of department. The capabilities and improved performance of a department finds expression in the competencies of those charged with running it and resulting in the need to continually equip managers with effective training, development and career progression. Schwella and Rossouw (2005:766) also argue that the PMDS for the SMS introduced the following:

- a mandatory assessment of proven managerial competence by means of Core Management Competencies (CMCs);
- a standardised performance rating scale,
- a two-tier pay progression and performance bonus reward system; and
- performance development plans for appraising SMS performance.

As was also described in Chapter One, the PAs that SMS members enter into with their respective departments must include the CMCs and should also be linked to the PDPs. According to Schwella and Rossouw (2005:767) the CMCs used in the PMDS are not results-driven but rather indicative of the ways in which managers perform their respective roles, functions and responsibilities. Not all CMCs are applicable to individual SMS members, therefore, this degree of variation implies that managers need to choose those that apply to their specific job situations and weight them accordingly when entering to PAs (DPSA, 2003:4).

The performance management process comprises performance planning, performance monitoring and feedback as well as training and development, which are conceptualised in the following sections.

2.4.1 Performance planning

This study places performance management and development as an integral part of the effectiveness of strategic planning as a disciplined effort to produce a fundamental decisions and actions shaping the nature and direction of an department's activities within legal bounds(Armstrong, 2012:14). The study concentrates on its applicability to a department, with specific reference to the Department of Public Works, Roads and Transport in the North West Province. Planning encompasses determining the values, departmental arrangements, community interests, political choices, individual views and departmental objectives that of importance in the department realising its strategic direction.

The SMS members frequently find it impossible to satisfy all the managerial, political and constitutional demands placed upon public departments since emphasising one demand's certain to provoke criticism from those who think that other demands are more important. That could be discouraging in some aspects, but it also makes public management challenging and even fascinating(Delbridge and Keenoy, 2010:799-817). Within this context performance planning is conceptualised as integral to strategic planning.

The aim of strategic planning is to enable the Public Service to manage the interrelationships and interconnectedness between the various internal and external departmental factors for the purpose of improving and providing quality services to the community and promoting public value. The governmental obligation to promote public interest distinguishes public administration from private management in a moral and basic sense. Even though it is often difficult to identify precisely what is in the public interest, there is no dispute about the obligation of public administrators to consider public interest as a general guide for their actions (Connelly, Holcomb and Holmes, 2009: 457-485).

The environment of the Public Service is changing continuously. Change has a profound impact on public departments and how they are managed to handle change. The manner in which top management adapts to the changing environment will reflect on its ability to cope successfully with unpredictable and unknowable external and internal factors. With the help of strategic planning, governments,

communities and public departments deal with change and adapt to it. Strategic planning is intended to strengthen a department's capacity to adapt to change and enhance the ability of a department's members to think, act and learn strategically(Hellriegel, Slocum and Jackson, 2008:80).

Strategic planning examines the complex issues of the underlying factors and attitudes towards priorities. Priority-setting is the most important part of the planning process. Yet it is often not given sufficient attention. Priority setting in planning involves a combination of several departmental related factors (Ghaffar, 2009:368). Performance planning is such a factor that influences strategic planning within departments. Performance planning manifests through the development of annual performance plans (APPs) which are the basis for performance implementation. The indicators and targets in this year's plan are monitored through quarterly performance reviews and submitted to the Provincial Treasury and to the Provincial Auditor General. These reports then identify the ability of departments to achieve its departmental performance indicators and are sources for the individual performance management and development of specifically SMS members(DPSA, 2011:1).

The planning cycle takes into account the key performance measures which are linked to strategic and operational plans of the department. The SMS members and their subordinate managers are required to jointly set a clear direction and proper planning by way of a role clarification session linked to the strategic goals of the department (DPSA, 2011:12). The planning session takes into account methods to be used such as observation, feedback, evaluation and development, including the manner in which the results of the performance will be used in the department(Rogerson, 2011:149-168).

The goals and objectives of the department are confirmed at the beginning of each financial year over which performance will be actually measured. This process identifies the KRAs and the Generic Assessment Factors (GAFs) that would comprise the criteria for measuring performance at varying levels of the period over which performance will be measured. The departmental SMS members are required to manage people, human beings who are appointed in a subordinate role in the Public Service (Rudman,2004:41) Given that the assessment of KRAs takes place once or twice a year, there is need, according to Rudman (2004:41), for SMS to periodically

inform their subordinate managers about the performance planning and review sessions.

Performance planning is primarily driven by the SMS and the HoD in his/her role as the accounting officer guided by Chapter Four of the SMS Handbook on the PMDS framework (DPSA, 2003:98). Within that framework, the KRAs are identified and *Batho Pele* principles, as defined by the White Paper on Transforming Public Service Delivery, 1998, are incorporated in order to provide for the culture of accountability in the Public Service. The argument is made that should the PMDS for SMS not be appropriately implemented, the responsibility of SMS alignment with the performance management and development of subordinates would be difficult to achieve. This will have a negative effect on performance planning specifically.

Performance planning is therefore an integral part of performance management and productivity management or a productivity action step. The focus of performance planning is on performance in terms of whether or not the SMS compared to others is performing well on the set plans and targets of the department. Effective management of employee performance in a department requires more than formal reporting and annual ratings (Rudman, 2004:4). Close attention needs to be paid to performance planning to ensure that it is a credible and consistent process in practice rather than one that it paid lip service to by making appraisals compulsory at the expense of empowering employees (Sutheewasinnon, Hoque and Nyamori, 2015:12). The study argues that performance planning is integral to empowering employees to achieve set departmental goals and objectives. Through planning employees are engaged in the expectations for job performance, which is necessary for the implementation of those expectations.

A complete planning process includes day-to-day interactions between the SMS and the HoD through formal face-to-face interviews. Within this context, performance planning ought to be viewed as the day-to-day management of the performance of a SMS by the HoD. The development of clear criteria for SMS members enables them to participate fully in guiding the change agenda in terms of the regulatory framework, whilst at the same time giving space to middle-managers and staff to identify areas that need change and mechanisms of effecting those changes as it relates to performance and is affected through performance planning. The SMS member and

the HoD create a worker friendly environment and opportunities to discuss the change issues, as a result of which the departments are able to take proper legally binding decisions that are based on performance information that has been supplied (Whetzel and Wheaton, 1997:7).

From the above the study argues that performance planning entails the setting of clear performance objectives and goals with the aim of ensuring departmental performance. Performance planning should be aligned to the other components in the performance management and development process. The next important component following performance planning is performance monitoring and feedback.

2.4.2 Performance monitoring and feedback

Rudman (2004:41) maintains that SMS and employees need to continuously engage at agreed intervals to review what is expected of them in accordance to the set departmental goals and objectives. (Pulakos, 2009:7) suggests that this be done to:

- evaluate actual performance against expected performance;
- identify the strengths and weaknesses of their employees; and
- identify training and development support needed to improve performance.

The formal process of assessment and providing feedback on the work of an individual or employees constitutes performance appraisal. Performance appraisal is concerned with setting work plans, targets and formally reviewing, evaluating or assessing a subordinate, usually at the end of the planning year (Rudman, 2003:3). Performance appraisal is critical as it informs training needs and the need for continuous development of employees. Performance appraisal focuses on future performance and the continued maintenance of competency standards of all the employees at any given time. Performance appraisal is concerned with the following (Hitka and Balážová, 2015:348-355):

- identifying employee performance;
- measuring employee performance; and
- developing employee performance.

As can be understood from the above, performance appraisal is therefore concerned with not only identifying weaknesses of the SMS members, but more fundamentally of introducing mechanisms of performance improvement. Only when employees are made aware of these weaknesses, they are likely to improve future performance within the context of their individual or team development (Webb, 2003:4). Within this context performance appraisal is a basic task of management, given that both the positive and negative aspects of the work of employees need to be appraised.

The performance appraisal process takes into account (DPSA, 2003:23-24):

- The assessment of the achievement of results as outlined in the work plan. This means that each KRA should be assessed according to the extent to which specified standards or performance indicators have been met; an indicative rating on the five point scale should be provided for each KRA; this rating should be multiplied by the weight given to the KRA during the contracting process, to provide a score; the assessment rating calculator may then be used to add the scores and calculate a final KRA score, based on the 80% weighting allocated to the KRAs.
- The assessment of the core management criteria (CMCs). In this case, the CMC should be assessed according to the extent to which the specified standards that have been selected are met; an indicative rating on the five point scale should be provided for each CMC; this rating should be multiplied by the weighting given to the CMC during the contracting process, to provide a score; the assessment rating calculator may then be used to add the scores and calculate the final CMC score, based on the 20% weighting allocated to the CMC.
- The overall rating. An overall rating, in accordance with the assessment rating calculator is provided as a summary of the outcome of the performance review for both the specific job related performance results and the assessment against the CMC. The assessment rating calculator may then be used to provide a final score based on adding the scores achieved for the KRAs and the CMCs.

From the above, it can be deduced that the departmental SMS members are able to determine how well they are performing in their respective responsibilities through an

operational performance appraisal(Whetzel and Wheaton, 1997:7). Used as a feedback instrument, performance appraisals can contribute to departmental effectiveness by aligning members' work behaviour with departmental strategy and workplace tools and technology. Continued monitoring of employees is important in order to determine if the goals of the department are on track to be achieved. Jenkins (2012:20) suggests that managers (in this case, SMS members) are assigned a monopoly of giving instructions to all employees in their respective department. This structure necessitates performance monitoring and is also critical for the following reasons (Jenkins, 2012:20):

- it enables departments to be informed of the actual nature of the current human resources at their disposal;
- not only are managers able to communicate with their employees in terms of clarifying goals and expectation of departments, but they also actively participate in the development of each employee;
- future career goals are also discussed between employees and management;
- the future of the employee within that particular department comes out clearly and is easily appreciated, as long as management is guided by the rules of fairness, decency and social justice; and
- performance appraisal is the primary responsibility of management.

Performance monitoring contributes to the evaluation of performance for it to be improved. Therefore there must be some form of evaluative performance appraisal to determine how to improve performance which suggests some form of appraisal to achieve performance ratings, evaluation of performance and determination of appropriate action and steps to be taken (Webb, 2003:113-131). This is important for the provision of the following(Song and Chathoth, 2013:240-249).

- a greater opportunity for employees to share in the vision of the department and how it is achieved;
- delegation of key decisions down the departmental structure to line managers and supervisors;
- a greater acceptability of accountability by line managers of the necessity to make such decisions; and

- reward structures, which forge a clear link between the individual, team or group performance.

From the above, the study argues that effective performance management therefore requires a good deal of face-to-face manager-employee interaction, or in the context of the study SMS-HoD interaction. Interaction should be aimed to enhancing employee engagement. Monitoring by the immediate supervisor is at the heart of performance monitoring through appraisals and feedback. Getting a supervisor to monitor the performance of the subordinate is relatively straightforward and also makes sense.

The supervisor should be and usually is in the best position to observe and evaluate his or her subordinate's performance and is also responsible for that person's performance (Jenkins, 2012:20). If a manager does not know his or her employees, then he or she has far fewer opportunities to steer them onto a path of greater productivity and optimised public service delivery. Performance monitoring refers essentially to close supervision of employees down the management chain. There is however no contestation that performance monitoring is intended to contribute to the promotion of efficiency and effectiveness (Speklé and Verbeeten, 2014:131-146).

Jenkins (2012:128-129) notes that the following has to be borne in mind when managers provide feedback to employees, given the possible anxiety of employees:

- appraisals must be given in writing;
- meetings must be scheduled where subordinate managers are given appraisals in person by SMS;
- achievements and failures need to be pointed out in relation to the overall departmental goals where subordinate managers are also encouraged to engage senior management;
- specific examples rather than perceived attitudes need to be advanced in such a meeting, where politeness and tactfulness are positively encouraged, whilst directness regarding the areas that need improvement is not discarded;
- where there is need for improvement, examples need to be pointed out with clarity; and

- goals to take the department forward need to be set in that particular meeting, where individual steps for improvement are spelt out, in order to empower subordinate managers with their career ambitions.

Feedback must be given in order to create an environment of trust and transparency. The study argues that taking into consideration the importance of both how performance appraisal is done as well as the regularity with which it is done, will contribute to a greater level of trust in the PMDS by the SMS employed in the Department of Public Works Roads, and Transport. Trust is a prerequisite for as well as a product of employee engagement, as argued in the next Chapter.

In addition and consistent to the above, any performance management process must recognise the following negative aspects which could manifest during performance feedback (Webb, 2003:113-116; Jenkins, 2012:128-129):

- destructive criticism of subordinate managers as it triggers defensiveness;
- critical appraisal which also ushers in defensiveness;
- repeated criticism which is very unhelpful as it increases the lack of confidence of managers;
- building interpersonal relationships that give rise to interference, favouritism and nepotism, selection of certain workers for redundancy over others as a result,
- distorting and manipulating appraisals outside the realm of expected objectivity which are done for self-serving and/or political reasons; and
- the tendency of appraisals being driven by written statements of SMS that bear no relevance whatsoever to the contribution of junior managers and thereby impacting negatively on the fairness of the entire process.

Understanding these negative aspects is important for the appropriate implementation of the PMDS in ensuring that departments focus primarily on the attainment of strategic goals. They are important for performance management as it also embraces aspects of training of employees (in this case SMS members) for any significant contribution to productivity (Pulakos, 2009:114-115), as described below.

2.4.3 Training and development

Noe(2010:5) defines training as a planned effort by management to facilitate employees' job related skills learning. The definition is further supported by Aguinis and Kraiger(2009:451-474) who state that training is the systematic approach to affecting individual's knowledge, skills, and attitudes in order to improve individual and departmental effectiveness. Aguinis and Kraiger (2009:452) further explain development as systematic efforts affecting individual's "knowledge or skills for purposes of personal growth or future jobs and/or roles". The study acknowledges that training and development are important components to the PMDS of SMS members as it provides for the realisation of both employee and departmental needs.

Employees and managers need to be able and motivated to use the performance management system effectively. Training helps accomplish both these objectives. Pulakos (2004:26) postulates that there are a number of training formats that can be used for performance management (Lee and Ok, 2015:84-98). There is limited ability in departments, especially in the government sector, to plan for the needed assistance. It creates challenges for planning approaches to meet these vital needs.

Training and development are an integral element to the functioning of any department, yet seems to enjoy a backwater status at the Department of Public Works, Roads and Transport. The SMS should harness the potential of individuals using well-developed PDPs in order to provide constant stimulation and satisfaction. This means the PMDS process should be organised in such a manner that it inspires and promotes intrinsic motivation, rather than having employees work only when there is supervision or instruction (Lee and Ok, 2015:84-98).

The PMDS process coupled with appropriate training and development should entail growing, motivating and improving individual skills. Although it has been determined that Skills Development Plans (SDP's) are in place in most departments and that training is taking place, more work still needs to be done to build human resource capacity(Lee and Ok, 2015:84-98). Efforts are still needed to determine how units formulate their Skills Development Plans (SDP's), how training opportunities are identified, whether there are any monitoring mechanisms in place to determine the impact of the training and development on performance of employees and what the

reasons for non-compliance are, if SDP's are indeed, in place(Lee and Ok, 2015:84-98).

2.5 CONCLUSION

This conclusion draws together the various themes that have run through this literature review Chapter. The regulatory framework that gave rise to the introduction of the performance management and development for SMS members in the Public Service was analysed. Drawing on various sources, this Chapter accordingly discussed a multiplicity of issues related to performance management and development as well as the performance management and development process. Within the foregoing context, the criteria for managing the performance through PAs of SMS members in terms of KRAs and GAFs, was also discussed.

Performance management and development, performance planning, monitoring of performance and feedback, including training and development were given specific attention in this Chapter. This literature review demonstrably assisted this study in gaining an understanding about what performance management and development constitute. As such, the information contained in this Chapter is used to determine whether or not the PMDS of SMS members is appropriately enabled in the Department of Public Works, Roads and Transport, Roads and Transport, of the North West Province. The following Chapter analyses the challenges relating to the implementation the PMDS for SMS members.

CHAPTER 3: CHALLENGES EXPERIENCED WITH THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM FOR SENIOR MANAGEMENT SERVICE MEMBERS

3.1 INTRODUCTION

This research study is focused on determining challenges related to the implementation of PMDS for the SMS members of the Department of Public Works, Roads and Transport within the North West Province. The previous Chapter focused on the theoretical overview of PMDS with emphasis placed on PMDS process entailing planning, monitoring and feedback and training and development. In this Chapter efforts are made to focus on PMDS challenges in depth from various sources.

Challenges related to performance planning, monitoring and feedback as well as training and development aspects of the study are discussed in detail. This Chapter investigates the challenges presented by respondents regarding the implementation of PMDS for SMS in the Department of Public Works, Roads and Transport. An analysis of these responses was made in order to understand the actual situation from the point of view of the respondents. In order to contextualise the challenges as identified by the respondents, it is important that some theoretical perspective regarding challenges in the implementation of a PMDS be first provided.

3.2 PERFORMANCE MANAGEMENT AND DEVELOPMENT CHALLENGES

Many of the challenges facing the South African government focus on the need to improve performance and productivity. According to Matshiqi (2007:20) some of these challenges are:

- managing uneven levels of performance in between the different spheres of government and between the different provincial governments;
- improving the capacity of managers in aligning policy, strategic planning, programme design, programme implementation and financial management;
- better co-ordination of monitoring and evaluation processes;

- developing standard and public service wide procedures for measuring productivity and performance;
- improvement in the service conditions of employees; and
- enhancing the objectivity of the performance-based incentive instrument.

Taking the above into consideration, the study argues that a lack of understanding of the role that the PMDS of SMS members plays in departmental performance contribute to overall performance-related challenges experienced by government departments. Generally speaking, employees feel disengaged with the PMDS which ultimately contributes to poor performance by the department as a whole. An argument is therefore made that the above mentioned challenges have a direct influence on employee performance and by extension on the successful implementation of the PMDS, specifically for SMS members.

Munzhedzi(2011:78-79) identifies other performance management challenges in the Public Service to include the following:

- incompetent managers who are unable to implement the PMDS effectively and efficiently;
- lack of understanding (if any) of the PMDS by both employees and their supervisors in a department, unit or directorate where performance and training should be conceptualised together;
- non-compliance of policy provisions by some employees which includes timeous submission of performance instruments such as signed PAs;
- lack of sufficient performance incentives (performance bonuses and pay progression) to reward those who perform well or exceed the set performance target or halo effect;
- biased ratings (subjective assessment) by supervisors' of their subordinates based on aspects such as favouritism; and
- focusing on the quantity of the end-product (output) rather than on the quality of produced goals (value).

A deduction is made that given the list of challenges identified, it is necessary to implement a PMDS in order to obviate and possibly eliminate a majority of these challenges in order to improve both the departmental as well as individual

performance. According to Matshiqi (2007:8), other factors, which may undermine performance management and productivity, include:

- inadequate remuneration;
- poor management;
- absence of career planning; and
- poor working conditions.

The study argues that, based on the above, challenges related to the implementation of the PMDS of SMS members can be process-related (such as non-compliance with performance requirements) or capacity related (such as challenges related to management and the supervisor-subordinate relationship). The PMDS that has limitations in terms of involvement and participation tend to discourage role players (employees and specifically SMS members) and turn them away or cause them to adopt an 'I don't care' attitude (Dingwayo, 2007:27). This implies that, for the purposes of this study, an examination of the level of participation by SMS members, in the implementation of their PMDS, had to be done. The examination of the extent of participation by SMS members in the PMDS implementation also gave an indication as to whether there was a system problem or if the challenges were limited to relationships between the supervisor and the subordinate.

The PSC has conducted a series of oversight studies to establish the progress made by departments in implementing the PMDS for SMS (PSC, 2008:6). In terms of the PMDS (PSC, 2008:6), the SMS are required to identify KRAs and incorporate the applicable *Batho Pele* principles. The *Batho Pele* principles cut across the KRAs and are therefore used to define the kind of service(s) each KRA is expected to deliver, and are also utilised as a criteria when performance assessments are conducted. The PAs analysed by the PSC were generally found to be non-compliant with this requirement (PSC, 2008:6). This disjuncture can contribute to the lack of synergy between the strategic plan of the department, its operational plans and the PAs of SMS members.

The following section focuses on challenges concerning the implementation of PMDS for SMS members in the Department of Public Works, Roads and Transport in the North West Province thematically categorised to include perceptions regarding the

legislative and policy environment, components in the PMDS and followed by some general observations.

3.3 PERCEPTIONS REGARDING LEGISLATIVE AND POLICY ENVIRONMENT

As was described in Chapter Two of the study, the legislative and policy framework enables the proper conceptualisation of the PMDS for SMS members. The Chapter highlighted specific requirements set out through legislation which facilitates the implementation of the PMDS for SMS members. These requirements include the signing of PAs as part of performance planning, receiving timeous feedback and monitoring of performance and specific requirements regarding the use of the PMDS as source of training and development needs. The legislation further clarifies the role that PMDS has in ensuring overall departmental performance as well as the need to integrate the PMDS with all departmental processes and functions. Figure 3.1 provides an overview of the extent to which SMS members agree or disagree to understanding the legislative requirements governing the PMDS for SMS.

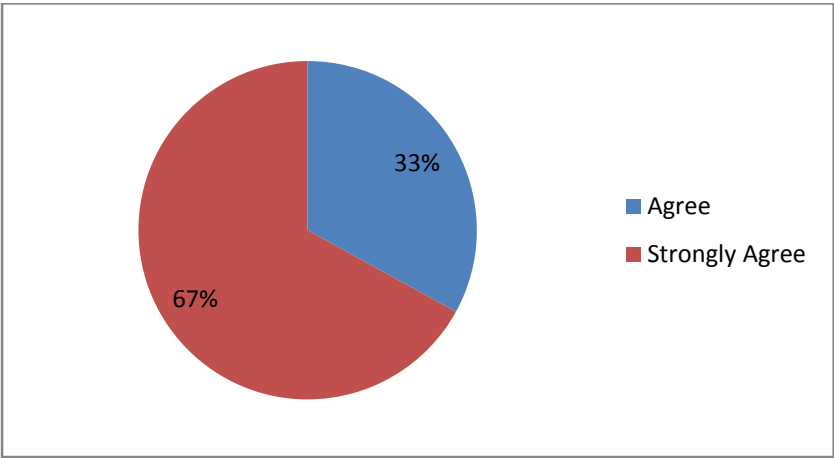


Figure 3.1: Understanding the legislative requirements

In respect of the figure above, 67% of the respondents strongly agree that they understand the legislative requirements governing the PMDS for SMS. Thirty-three percent agree that they understand them. The argument can be made that if all SMS indicate their full understanding of the legislative requirements for the PMDS, then their understanding should help with the effective implementation of performance management and development. The research focuses on specifically the PMDS for SMS and thus their understanding of their legislative obligation should facilitate the

complete implementation and management of the PMDS, for both themselves and their subordinates.

Specific requirements of PMDS of SMS members were also described in Chapter Two and entail aspects related to performance planning, performance feedback and review as well as development and training. Figure 3.2 depicts the extent to which the respondents agree or disagree to understanding the PMDS requirements for SMS members in the Public Service.

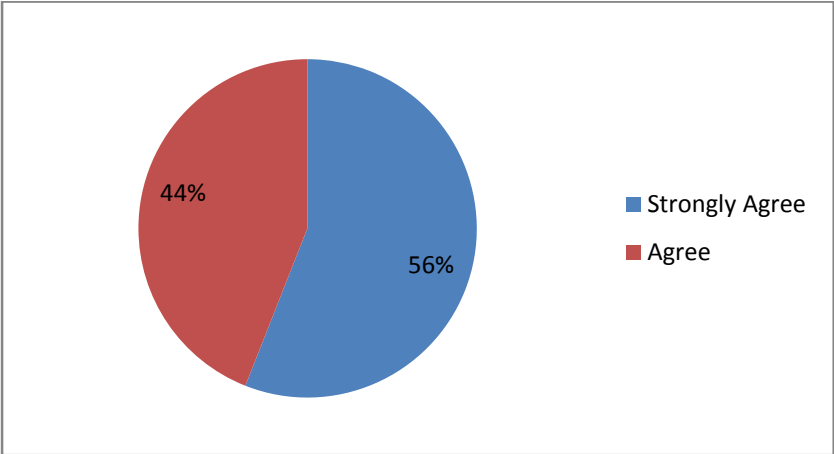


Figure 3.2: Understanding the PMDS requirements for SMS members in the

According to the above figure 56% of the respondents stated that they strongly agree to understand the PMDS requirements for SMS members in the Public Service. Forty four percent of the respondents said that they agree that they understand those requirements. Such positive feedback from the SMS would mean that they are best placed to implement the requirements for SMS members in respect of PMDS.

The legislative requirements include, for instance, that the PAs of individual members should be based on a department’s strategic/operational plan, the milestones agreed upon by the relevant executive authority and top management, as well as the work plans of individual components (DPSA, 2003:11). The argument can be made that by indicating their own understanding of the requirements they also commit themselves to ensuring the appropriate implementation thereof by facilitating appropriate alignment between departmental planning and individual performance management and development.

Figure 3.3 below depicts the extent to which the respondents agree or disagree that their KRAs in their PAs are aligned with the strategic and operational plans of the Department.

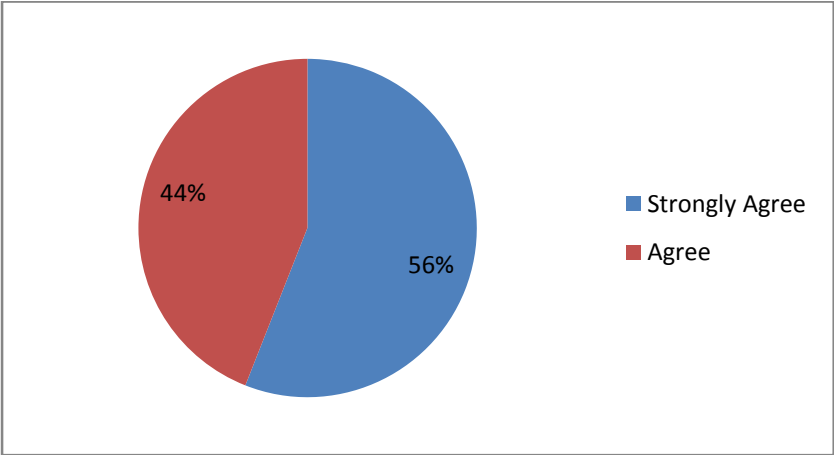


Figure 3.3: The alignment of KRAs in PAs with the strategic and operational plans

The lack of alignment between KRAs and strategic plans may lead to the non-achievement of the goals set out in such plans. In this case:

- Fifty six percent of the respondents strongly agree that the KRAs in their PAs are aligned with the strategic operational plans of the department.
- Forty four of the respondents agree that the KRAs in PAs are aligned with the strategic operational plans of the Department.

In terms of these responses, it is clear that all respondents are in agreement that KRAs in PAs are aligned with the operational plans of the Department. The argument therefore is that if the KRAs in the PAs are aligned to the strategic and operational plans, the implementation of PMDS processes should not be hindered. The successful implementation of the PMDS processes benefit from SMS buy-in. The process of compiling the strategic and operational plans, which leads to the drafting of PAs and work plans, is therefore important in that it has to be seen to be both transparent and inclusive.

While a department must continually adapt to its environmental status, there are certain core ideals that remain relatively stable and provide guidance for the

department's strategic direction (Zarkesh, 2008:79). Boice and Kleiner(1997:197-201) indicated that it is important that planning process clarifies the following:

- the mission of the department and its primary goals;
- the strategy formation and evaluation method utilised by the department to reach its goals;
- the implementation plan describing the actual tactics that put the plan into action;
- the control method showing the department is properly managed and is attempting to achieve its goals and objectives; and
- the feedback that allows management to know when corrective action is necessary.

The above again emphasises the importance of management in the realisation of departmental goals and objectives. By agreeing that their PAs are aligned to departmental strategic and operational plans, the SMS convey the message that both departmental and individual performance management and development contribute to departmental performance. The argument can, thus, be made that by indicating their alignment between departmental and individual performance, SMS members also indicate that their own PMDS is successfully implemented, as is depicted in Figure 3.4.

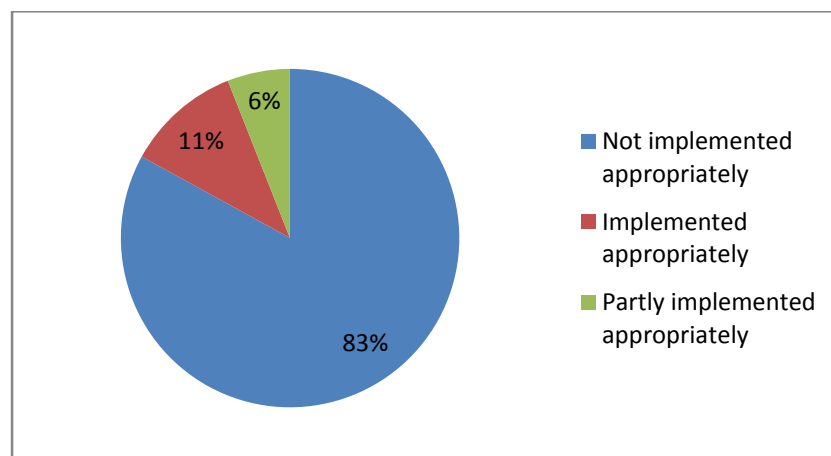


Figure 3.4: The appropriate implementation of PMDS

Figure 3.4 depicts responses about the appropriate implementation of PMDS. The results from respondents indicate that:

- Eighty three percent of the respondents state that the PMDS is not implemented appropriately.
- Only 11percent of the respondents are of the view that the PMDS is implemented appropriately.
- Six percent of respondents are of the opinion that the PMDS is partly implemented appropriately.

The above is indicative of a serious challenge in the implementation of the PMDS for SMS members in the Department of Public Works, Roads and Transport. As was argued an indication in alignment should ensure successful implementation, yet, respondents were adamant in their opposition to this.

Birnbaum(2000:75) noted that when strategic plans are not implemented performance planners become frustrated with the performance planning process. They begin to view performance planning activities as pointless and ultimately lose interest in future performance planning efforts. In addition (Glaister, Dincer, Tatoglu, Demirbag and Zaim, 2008:98)found that a strong and positive relationship could exist between formal strategic planning and departmental performance. Through implementation, departmental performance can be evaluated and assessed and corrective actions can be made. Another benefit of implementation is the creation of public value, which is the most important outcome and the aim of the entire strategic planning exercise.

When strategies and plans are successfully implemented and benefits are realised, it increases the legitimacy and confidence of employees, communities, leadership and the department in general. In addition, individuals involved in effective implementation will experience heightened self-esteem and self-confidence. The study, thus, argues that SMS members perceive positive understanding of the legislative and policy requirements related to the PMDS.

SMS members perceive their performance to be aligned to departmental strategic and operational plans, yet they are adamant that their own PMDS is not properly

implemented. The study argues that this discrepancy heightens negative perceptions that SMS members have of the PMDS, which cascades down to lower levels and general inability of the Department to promote employee performance management and development as well as enhance employee engagement. This argument is made evident by the analyses of data related to specifically planning challenges in the PMDS for SMS, which are described the following section.

3.4 PERCEPTIONS REGARDING PERFORMANCE PLANNING CHALLENGES

In Chapter Two the aspects that relate to performance planning, namely developing and signing PAs, aligning PAs to departmental goals and objectives and ensuring proper reflection of KRAs and CMCs in PAs were described. Figure 3.5 depicts responses of respondents stating the extent to which they agree or disagree on the importance of signing the PA.

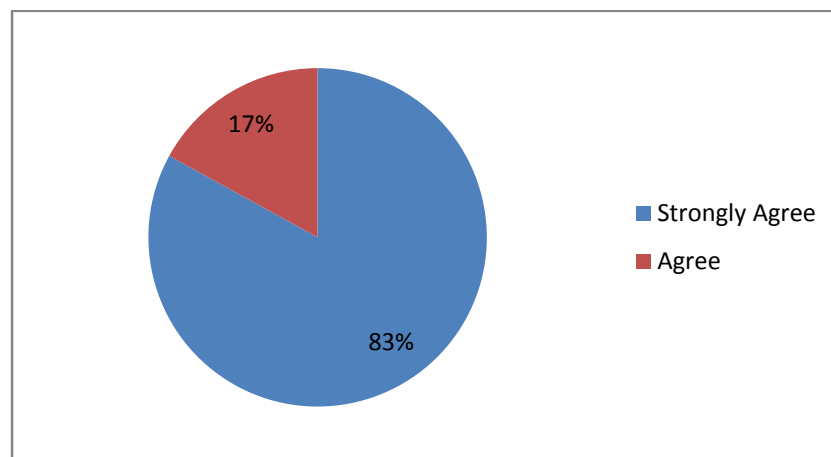


Figure 3.5: The importance of signing the PA

The responses indicate that:

- Eighty three percent of the respondents strongly agree that it is important to sign the PA.
- Seventeen percent of the respondents agree that it is important to sign the PA.

Figure 3.6 depicts the extent to which the respondents agree or disagree that their PAs are signed on time.

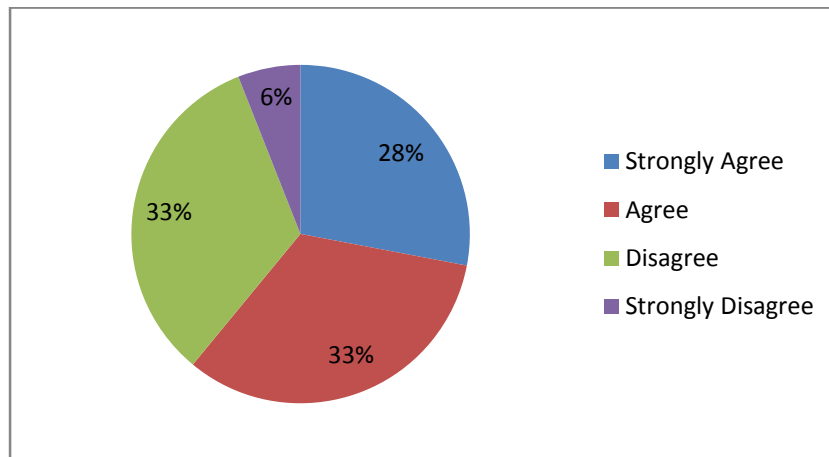


Figure 3.6: Signing of PAs on time

SMS members should sign their PAs on time so that this does not disrupt or impede the timeous implementation of the PMDS process. The results of the above indicate that:

- Twenty eight percent of the respondents strongly agree that they sign the PAs on time.
- Thirtythreepercent of the respondents agree that they sign the PAs on time.
- Thirty three percentof the respondents indicate that they don't sign the PAs on time.
- Only six percent of the respondents are showing strong disagreement that their PAs are signed on time.

These results indicate that a majority of SMS (33%+28%) sign their PAs on time. The argument here is that there seems to be a discrepancy between what SMS members say about the signing of their PAs and what they have reported about the full implementation of PMDS in their directorates/ units/sections.

The creation of specific objectives from the stated departmental goals is best captured in the PA. Performance management is a matter of developing plans to achieve objectives, putting them into action, measuring and obtaining feedback on results and reviewing achievements in order to modify plans or take corrective action as necessary(Schraeder and Jordan, 2011:4). Schraederand Jordan (2011:4) argue that it is important to note that employees should be viewed as an investment, not an expense; this distinction recognises that employee's individual and collective

performances play a vital role in helping departments achieve their overall departmental objectives.

According to Sutheewasinnon *et al.* (2015:12) the PA is a document set up to break down departmental objectives into individual objectives. Armstrong and Baron (2000:69-84) assert that performance management is largely about managing expectations. Specific uncertainties will exist due to the implementation of the PMDS, but it is supervisor's responsibility to clear these uncertainties and ensure that expectations are clarified through proper performance planning and the PA as product thereof.

The work related competencies at the centre of managers performing their tasks are captured in their PAs. The process of aligning PAs to the PMDS forms part of the performance planning process. Figure 3.7 depicts the extent to which respondents agree or disagree about the compliance of their PAs with the PMDS requirements.

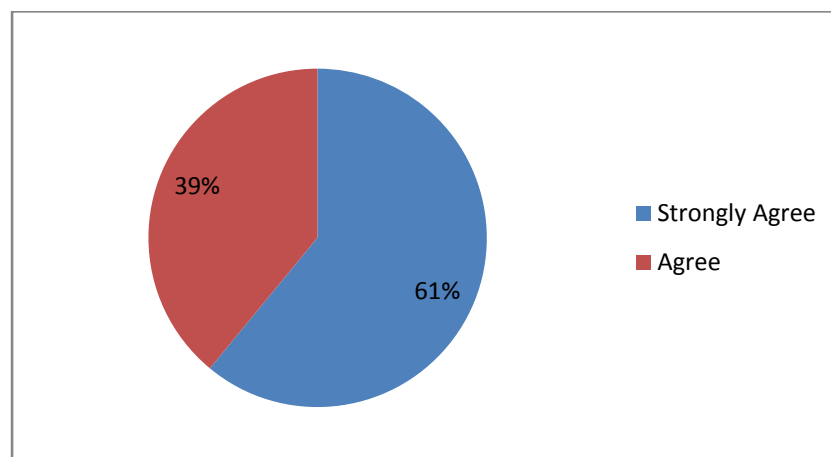


Figure 3.7: Compliance of PA with PMDS requirements

Figure 3.7 shows the results from respondents, in terms of their PAs compliance with PMDS requirements. The breakdown is presented as follows:

- The results indicate that 61% of the respondents strongly agree that their PAs comply with the requirements of PMDS.
- Thirty nine percent of the respondents agree that their PAs comply with the requirements of PMDS.

By reviewing the results of the responses the study argues that all SMS members agree that signing the PA is important since it identifies their strategic role in fulfilling the departmental goals and objectives. They also concur that their PAs are signed on time and that they reflect all the PMDS requirements. The perceptions of SMS members regarding the process of drafting and signing PAs may determine or influence the extent to which they are prepared to participate in the PMDS process.

Hundred percent of the respondents are of the view that the drafting and signing of PAs should be implemented appropriately so as to encourage managers to account for performance of their directorates(Tajuddin, Ali and Kamaruddin, 201:3).The argument can be made that SMS members embrace the importance of participating in the drafting of PAs. This shows their level of support to the PMDS planning process. An argument is further made that the drafting of PAs is not a challenge towards the implementation of the PMDS. Allowing employees to have an input is of importance as it enhances ownership and acceptance of the process (Pulakos, 2009:26)

From the stated results, it is most apparent that all SMS generally agree that their PAs comply with the requirements of PMDS. The argument can be made that non-compliance of SMS members' PAs to the PMDS process can be ruled out as a possible impediment or challenge towards its successful implementation. Figure 3.8 depicts the extent to which respondents agree or disagree that their PA identifies with the Key Result Areas (KRAs).

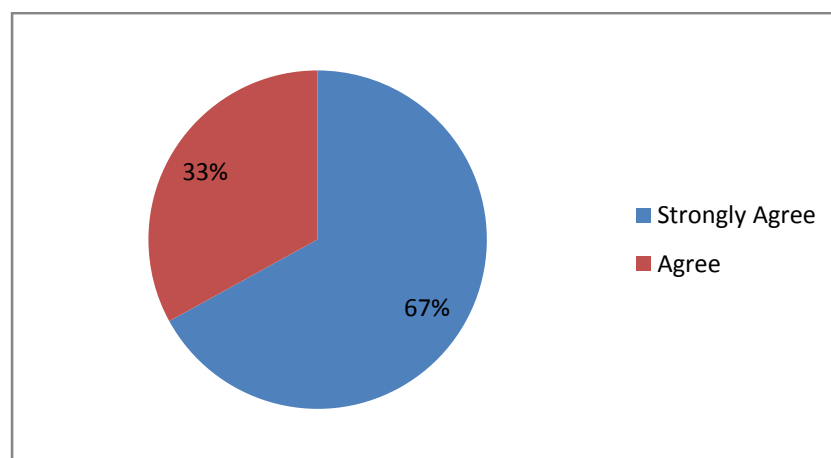


Figure 3.8: PA identifies with Key Results Areas (KRAs)

The preceding statements regarding the importance of a link between KRAs and PAs is provided as determinant in the successful implementation of the PMDS process. The figure above provides the results of the extent to which, according to the respondents, their KRAs are reflected in their PAs. The responses indicate that:

- Sixty seven percent of the respondents strongly agree that their PAs identifies with key results areas.
- Thirty three percent of the respondents agree that their PAs identify with key results areas.

From the above it can be seen that all senior managers generally agree that their PAs identify KRAs. The DPSA (2003:98) sets out the manner in which the KRAs should be drafted. The setting of KRAs should be derived directly from the required outputs of the approved strategic/operational plan. KRAs should be broken down into specific activities or outputs in a work plan. Indicators are then used to indicate how the successful performance/achievement of the activities or outputs will be measured.

The identification of KRAs can cover many different aspects of the work, including (DPSA, 2003:14):

- specific tasks or events which the member should ensure are achieved;
- levels of performance which the member should maintain and promote;
- actions or situations for which the member is personally responsible for delivering her/his “unique contribution”.

The study argues that proper inclusion of KRAs in PAs should enhance actual performance and thus, contribute positively to the overall departmental performance. Should performance be the product of negotiated expectations then employees will feel more engaged with the process as well as with the department. The PAs should not only identify with KRAs, but should also stipulate the CMCs upon which the performance of a member of the SMS must be, both of which shall be contained in the PA. Each SMS member must be assessed against both components, with a weighting of 80:20 allocated to the KRAs and the CMCs respectively (DPSA, 2003:12). However, it is not only the KRAs and CMCs that should be contained in the PA. Chapter Two also provided an overview of how the *Batho Pele* principles

contained in the White Paper on Transforming Public Service Delivery, 1998, is perceived as transversal and important for the inclusion in individual PAs.

The White Paper on Transforming Public Service Delivery (1998) outlines the eight *Batho Pele* principles, whose intention is to guide the improvement of efficiency and effectiveness of how services are to be delivered (DPSA, 2003:3). Therefore it is important for SMS to be seen to incorporate *Batho Pele* principles in the strategic plans of their departments and units, as well as ensuring that the *Batho Pele* principles are reflected in the KRAs and CMCs in the PAs of SMS members. Figure 3.9 depicts the extent to which the respondents agree or disagree that their PAs reflect the *Batho Pele* principles as measured against the KRAs.

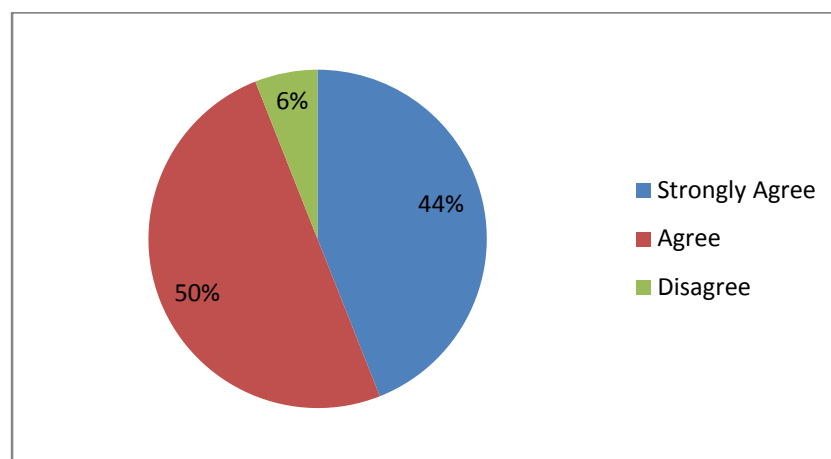


Figure 3.9: PAs reflecting the *Batho Pele* Principles as measured against the KRAs

The *Batho Pele* principles determine the manner in which services are to be delivered under each KRAs and CMCs that are reflected in PAs. Respondents indicate that:

- Forty four percent strongly agree that their PAs reflect the *Batho Pele* Principles as measured against the KRAs.
- Fifty percent are in agreement that their PAs reflect the *Batho Pele* Principles as measured against KRAs.
- Only six percent are in disagreement.

These results point to the fact that there is general agreement amongst the majority of respondents that their PAs reflect the *Batho Pele* principles as measured against the KRAs. A deduction is made that there is an alignment between KRAs,

CMCs and the *Batho Pele* principles in the PAs, which should facilitate the implementation of the PMDS process in the Department.

Figure 3.10 represents the extent to which the respondents agree or disagree that their *Batho Pele* principles are also reflected against the Core Management Criteria (CMCs) as contained in their PAs.

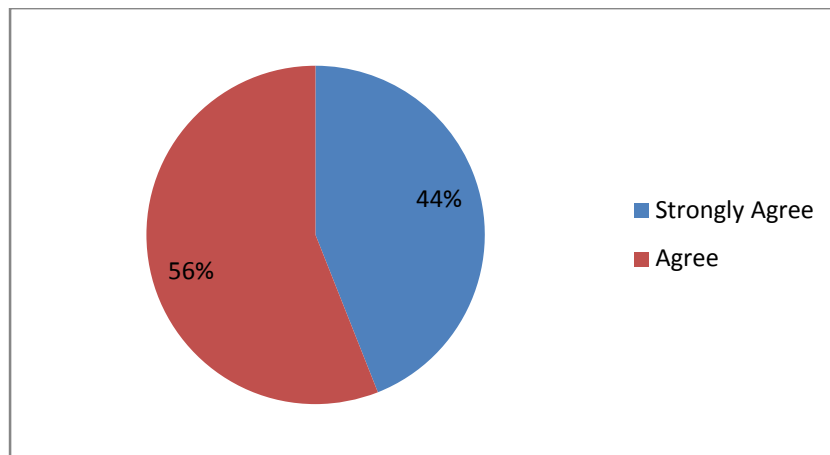


Figure 3.10: *Batho Pele* Principles reflected against the Core Management Criteria

The *Batho Pele* Principles are integrated within the KRAs, CMCs and PAs. The reflection of the *Batho Pele* principles against CMCs is therefore important to the PMDS process. The results indicate that:

- Forty four percent of the respondents strongly agree that BPPs are also reflected against the CMCs.
- Fifty six percent of the respondents agree that the *Batho Pele* principles are also reflected against the CMCs.

The overall response indicates that all respondents are in agreement that the *Batho Pele* principles are also reflected against CMCs. The argument is that since SMS members confirm that *Batho Pele* principles are reflected in their CMCs; therefore their PAs conform to the benchmarks of the performance management and development process. Work plans are the operational tools of realising the PA (DPSA, 2003:99). Therefore it can be asserted that the work plans are useful in the operationalisation of PAs, reflecting the quarterly, monthly, as well as weekly

schedules of work to be undertaken by the SMS member as required by the member's PA.

Involving employees in the planning process is essential to their understanding of the goals of the department, what needs to be done, why it needs to be done, and expectations for accomplishing goals. This is supported by Pulakos (2009:58) in that, performance standards help employees understand what is expected of them and provide common standards for managers to use in evaluating employees, thereby increasing consistency, transparency and fairness.

The deduction can be made that overall, SMS members are positive towards the implementation of PMDS in the departments. Figure 3.12 represents the responses of the SMS with regard to the implementation of the PMDS in their directorate/unit/section. It depicts the extent to which they either agree or disagree about the implementation of the PMDS in their directorate/ division or section.

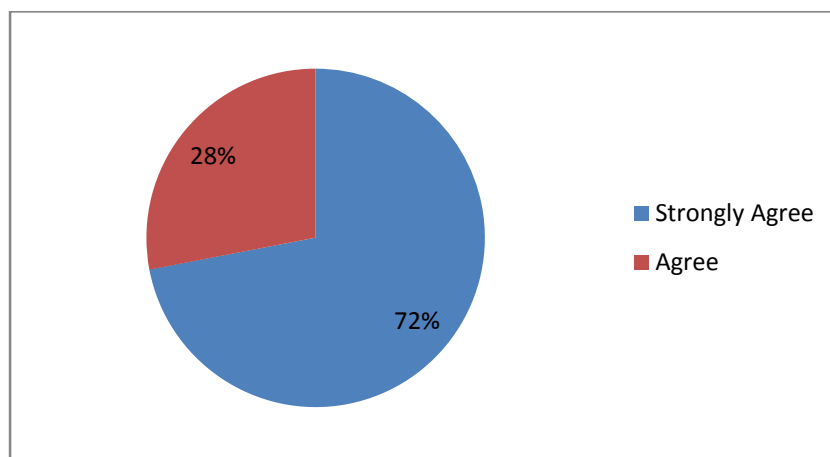


Figure 3.11: The implementation of the PMDS in the section

According to the above figure, respondents generally agree that the PMDS has been implemented in their respective directorates/unit/section, as it can be seen hereunder:

- The results indicate that 72% strongly agree that they have implemented the PMDS in their directorate/division/section.
- Twenty eight percent of the respondents agree that they implement the PMDS in their directorate/division/section.

The deduction can be made that SMS members indicate that their own PAs have been implemented as well as the PAs of their subordinates. This analysis contradicts earlier results (as presented in Figure 3.4) that the performance management system has not been fully implemented in the Department. The argument here is then that there seems to be a discrepancy between what the SMS members believe have happened in their units and the actual implementation of the PMDS. While the above analyses presents relative positive outcomes regarding the performance planning in the PMDS of SMS, the reality still exists that the majority of SMS consider the PMDS not to be implemented in the Department. The results obtained from SMS members' responses to the monitoring and feedback components of the PMDS process, may present a more holistic conclusion whether there is unequivocal support or not, for the implementation of PMDS for SMS members in the department.

3.5 PERCEPTIONS REGARDING PERFORMANCE MONITORING AND FEEDBACK CHALLENGES

Managers frequently avoid providing feedback because they do not know how to deliver it productively in ways that will minimise employee defensiveness. For the feedback process to work well, experienced practitioners have advocated that it must be a two way communication process and a joint responsibility of managers and employees (Sutheewasinnon *et al.*, 2015:17)

Feedback must be unbiased. The ability to give unbiased feedback is dependent on the quality of the expected results and measures in job descriptions and objectives. If expectations are vague then meaningful feedback cannot be given. There are many ways of capturing the data you need for feedback. The supervisor-subordinate relationship is central. Feedback could only be given if the managers are more conversant about their day- to- day activities. There must be a regular but informal process of observing performance.

Feedback motivates behaviour by acting as a promise for future rewards. Therefore, such feedback through performance appraisal activity is central to performance management and has two distinct purposes which are evaluation and development management(Letsoalo, 2007).Most departments rely on some form of performance appraisal system to provide employees with feedback about their performance and to

help the departments make decisions about such things as pay increase and promotions (Lee, Almanza, Jang, Nelson and Ghiselli, 2013:282-293).

Dechev(2010:11) outlines the main performance appraisal challenges in the performance appraisal process:

- Determining the evaluation criteria. Identification of the appraisal criteria is one of the biggest problems faced by the top management. For the purpose of evaluation, the criteria selected should be in quantifiable or measurable terms.
- Lack of competence. Evaluators should have the required expertise and the knowledge to decide the criteria accurately. They should have the experience and the training necessary to carry out the appraisal process objectively.
- Errors in rating and evaluation. Many errors based on the personal bias like stereotyping, halo effect (i.e. one trait influencing the evaluator's rating for all other traits), and may creep in the appraisal process. Therefore the rater should exercise objectivity and fairness in evaluating and rating the performance of the employees
- Resistance. The appraisal process may face resistance from the employees because of the fear of negative ratings. Therefore, the employees should be communicated and clearly explained the purpose as well the process of appraisal. The standards should be clearly communicated and every employee should be made aware of what exactly is expected from them.

The above listed challenges need to be taken into consideration when an assessment is made from the responses of participants to this research, particularly in the following section. Regular and scheduled performance reviews are essential for a predictable and open implementation of PMDS, particularly for the implementation of performance monitoring and feedback. Figure3.12 depicts the extent to which the respondents agree or disagree that the dates for the performance review are contained in their PAs.

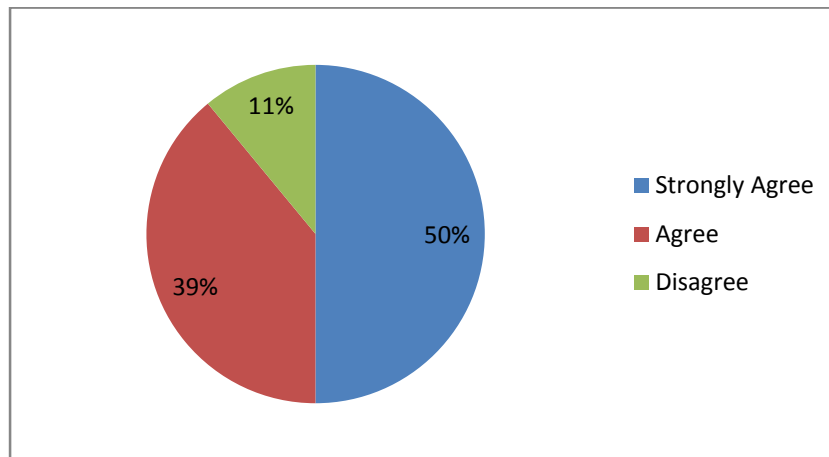


Figure 3.12: Dates for performance review are contained in PAs.

PAs should reflect performance review dates for feedback purposes. The results indicate that:

- Fifty percent of the respondents maintain that the dates for the performance reviews are contained in their PA.
- Thirty nine percent of the respondents agree that dates for the performance reviews are contained in their PA
- Eleven percent of the respondents disagree.

Conventional performance appraisal almost always includes some form of overall performance rating. According to Kennedy and Porter(2008:139-158) a department needs to consider which method of performance rating is most suitable for providing valid and realistic performance information. An effective employee performance rating depends largely on what has been planned in advance. This includes setting performance expectations and goals for individuals in order to channel efforts toward achieving departmental objectives.

PAs compliance with PMDS requirements involve obtaining comprehensive feedback information from managers, peers, direct reports, self and customers and is often referred to as 360-degree feedback (Pulakos, 2009:58). Armstrong and Baron (2000:125) refer to 360-degree assessment/feedback as an approach to assessing performance that is used to supplement or even replace the more conventional forms of assessments. (Nel, Gerber, Van Dyk, Haasbroek, Schultz, Sono and Werner (2004:412) define a 360-degree appraisal as a questionnaire that asks many people

(superiors, subordinates, peers, internal and external customers) to respond to questions as to how well a specific individual performs in a number of behavioural areas. According to Joo, Sushko and Mclean, (2012:19) the use of a 360-degree feedback system has increased substantially in recent years. This method actually relies on the views of others on how they see employee's performance from their perspective. In a way, a 360-degree feedback system provides a more holistic approach to assessing an employee.

Cooper (2008:16) refers to 360-degree feedback as a tool that helps employees build new skills and improve their performance in general by gathering and analysing performance information from several resources. According to Cooper (2008:16) the implementation of 360-degree feedback systems can produce many benefits, including:

- decreased possibility of biases;
- increased awareness of performance expectations;
- increased commitment to improve;
- improved performance; and
- increased career control on the part of employees.

Given the above and the fact that respondents agree that dates for feedback are contained in their PAs the argument can be made that the earlier statements that PMDS is not properly implemented in the Department of Public Works, Roads and Transport is not supported by actual perceptions of SMS as far as the scheduling of performance reviews is concerned. According to Armstrong and Baron (2000:34) feedback provides opportunity to recognise achievements or to indicate areas for improvement or development, strengths or weaknesses, and to make better decisions regarding job assignments. Feedback should always be evidence based. It is actually beneficial for the employee to receive feedback broken down in categories, so that the employee can place particular attention and effort on the interactions involving any source detecting performance deficiencies.

Feedback about performance in general and about development activities in particular serves several important purposes. These include helping build employee confidence, developing employee competence, and enhancing employee

involvement with the unit and the department as a whole (Cooper, 2008:18). The perception of SMS members regarding how their assessments are handled can have a bearing on the acceptance or credibility of such an assessment. Figure 3.1 depicts respondents' views about how assessments or appraisals are done.

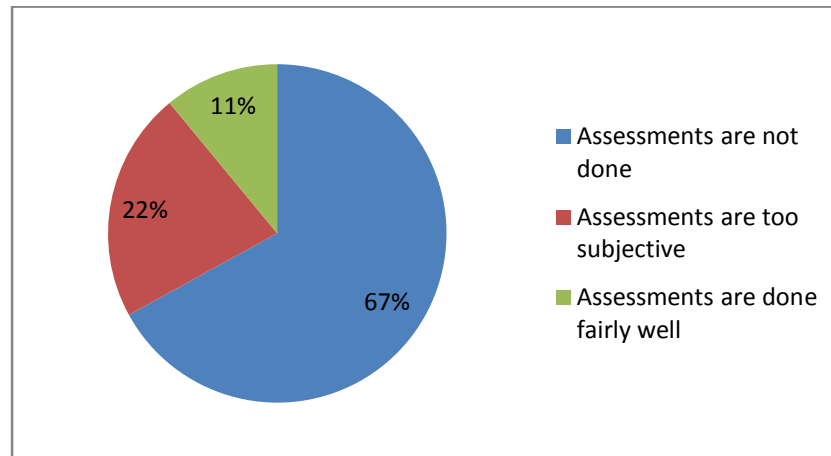


Figure 3.13: Views about assessments

Below are the respondents' responses on their views regarding the PMDS performance review assessments in their Department:

- Sixty seven percent of respondents stated that assessments are not done.
- Twenty two percent of respondents are of the view that assessments are too subjective and lack integrity, honesty and reliability and dates for performance reviews are not honoured.
- Eleven percent of respondents stated that assessments are done fairly well.

The majority of respondents are of the view that assessments are not done. Given this outcome, an argument can be made that without conducting assessments, the Department is seriously hampered or handicapped to successfully implement PMDS as a whole. The above provides the basis for SMS members' perceptions that the PMDS is not implemented in their Department. The problem does not lie in their understanding of the PMDS requirements nor in their ability to plan their performance, but in the manner in which feedback is often perceived by SMS members.

The factor of fair rating requires a face-to-face evaluation meeting or interview with the later and a performance evaluation based on adequate opportunity to observe and rate employee performance in line with the agreed objectives. Judgment based on evidence requires those who rate employees to apply standards honestly and consistently across employees and to do so without bias or pressure. Employees should also be awarded an opportunity to question, discuss or appeal the rating should the need arise.

Outcomes of performance appraisals can lead to dispute between the SMS members and their supervisors. This necessitates a need for mediation to be provided for. Figure 3.14 depicts the extent to which the respondents agree or disagree that the role of a mediator is provided for in their PA in the event that there is a dispute between themselves and the employer.

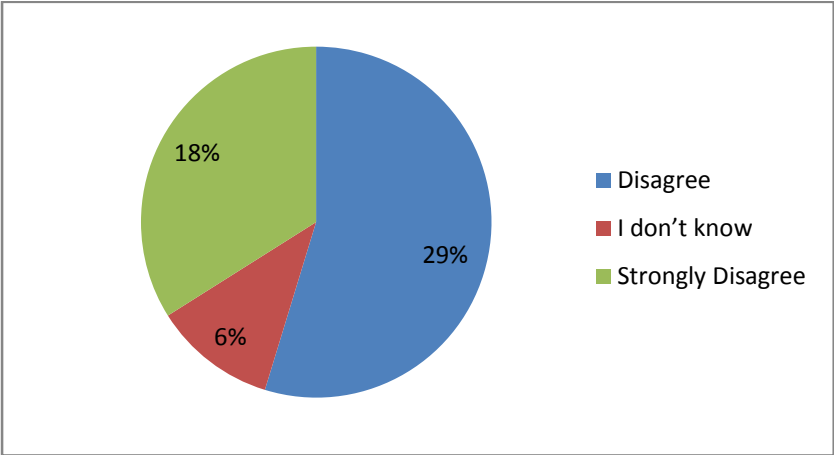


Figure 3.14: Provision for the role of mediator in PAs in the event of any dispute.

The extent to which respondents support the role of a mediator in PAs, in the event of disputes is important towards dealing with PMDS process challenges.

- Eighteen percent of the respondents strongly agree that the role of a mediator is provided for in their PAs in the event that there is a dispute between themselves and the employer.
- Forty seven percent of respondents agree that the role of a mediator is provided for in their PA in the event that there is a dispute between themselves and the employer.
- Twenty nine percent of the respondents disagree that it is not so.

- Six per percent do not know.

On the overall a majority of the respondents are in agreement that the role of a mediator is provided for in their PAs in the event that there is a dispute between themselves and the employer.

Russel and Jordan(2009:1201-1216)give a simple definition of performance review as a process for providing retrospective feedback to a performer on that performer's performance over a given period. Performance reviews should focus on exploring successes, failures, causes of successes and failures, competencies and areas of development. Thus, the study argues that while performance disputes may arise, it still remains the responsibility of the manager to ensure that through as mediator; opportunity is provided for exploring the causes of failure and identifying the areas of success.

Performance review is very important step in the performance management process, because it allows managers to review achievements relating to initially planned objectives and goals and modify plans to take the necessary corrective action should the need arise. Armstrong and Baron (2000:24) state that, although performance management is a continuous process, it is still necessary to have a formal review once or twice per year. Ideally, performance reviews must be conducted to look at whether the set targets have been achieved and current level of performance is better than that of the previous year, using baseline indicators. The assessment is important because you can only know if your performance is improving by comparing with past performances. The successful implementation of the PMDS process is dependent on proper adherence to the PMDS cycle, which in turn relies on the government planning cycle.

As can be seen from the above processes, PMDS is indeed a continuous cyclic process. Throughout the whole process, employees form the most important role player in ensuring that the process is a success. Based on the above discussions, the study argues that the success of the any performance management process rests unequivocally on management taking the leading role and employees' being knowledgeable of what is expected from them, both of which are fundamental requirements for effective employee engagement.

There are some discrepancies; however, in that when respondents are asked about the implementation of PMDS in their directorate, 72% agree that it happens, 61% of respondents agree that their PAs comply with the requirements of the PMDS. A deduction is made that there are two perceptions that come to the fore, namely that there are attempts to implement PMDS but that there are also serious challenges related to feedback that need to be addressed in order to have a successful implementation.

The PMDS is developmental in nature, and therefore issues like non-performance may lead to measures like training being implemented to help SMS members perform. Employers, however, are not prohibited to taking disciplinary measures in other instances, after performance assessments have been conducted. Figure 3.15 depicts the views of the respondents with regard to disciplinary measures.

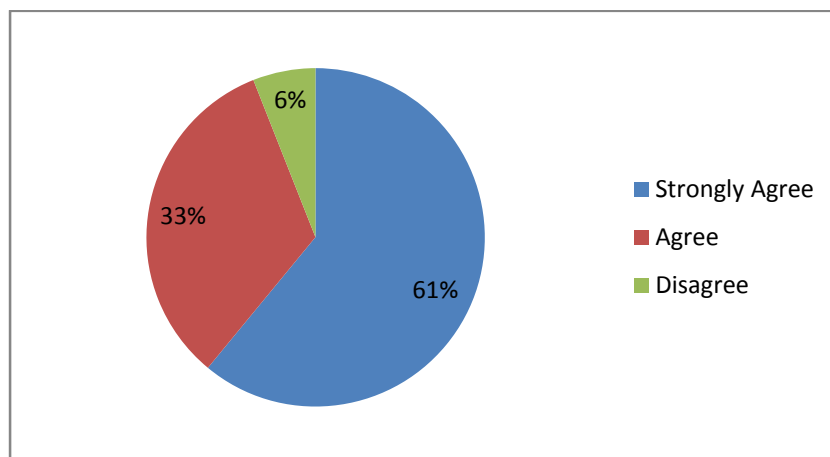


Figure 3.15: Views on disciplinary measures

The following outcomes represent the views of respondents on disciplinary measures for SMS members in respect of unsatisfactory performance.

- Sixty one percent of the respondents are of the view that no disciplinary measures are taken for unsatisfactory performance.
- Thirty three percent of the respondents responded that the disciplinary measures should involve remedial action and contribute to the development of the SMS members.
- Six percent of the respondents are of the opinion that disciplinary measures are not applied in a fair and just manner.

The majority of respondents indicate that no disciplinary action is taken if an SMS member underperforms. Again, the argument is made that even when disciplinary action is taken, SMS members perceive it as being unfair and unjust. The study recognises the importance of fair and continuous feedback as a cornerstone to the successful implementation of the PMDS for SMS members.

However, there is also a significant view that if disciplinary measures were to apply, these should involve remedial action aimed at developing the affected SMS members. This indicates a willingness to be subjected to assessment and a willingness to be subjected to corrective measures after the outcome of such assessment. This is deduced from the outcome that indicates that 33% of respondents support the approach which advocate for disciplinary measures which involve remedial action and contribute to the development of SMS members.

Having an effective PMDS is a necessary management tool, but adequate circumstance for effective performance management feedback should be provided for. This is why both the most challenging and the most important part of developing an effective performance management system is implementation (Pulakos, 2009:103). Verma, Majumder and Ghatak (2006:10291-10295) argue that ensuring a successful PMDS implementation is hard work and requires a rigor and discipline most departments aren't willing to commit. As Cooper (2008:1) observes, implementing a well-designed PMDS has many advantages for both managers and employees.

This section presented results on various questions based on challenges of implementing the PMDS process. The specific area of focus was in respect of the performance monitoring and feedback related challenges. A general deduction is that respondents show a willingness to be monitored and participate in the feedback sessions of the PMDS process. However the actual implementation of the components for performance monitoring and feedback, are considered challenging. The following section looks at the challenges related to training and development.

3.6 PERCEPTIONS REGARDING PERFORMANCE TRAINING AND DEVELOPMENT CHALLENGES

Erasmus and Schenk(2008:13) argue that employee training should refer to job related learning that is provided for by employers to their employees, whose main aim is to improve the skills, knowledge and attitudes of employees so that they can perform their duties according to set standards. Grobler and Leonard (2006:340) describe training as a process whereby people acquire capabilities to aid in the achievement of departmental goals. Employee development should be seen as a broad term relating to the training, education and other intentional or unintentional learning, and which refers to the general growth of the employee through learning(Grobler and Leonard, 2006:390-406). Development is considered a managerial function of preserving and enhancing employees' competence in their job by improving their knowledge, skills, abilities and other characteristics (Grobler and Leonard, 2006:340).

According to Paile(2012:36), the role of training in determining the successful implementation of PMDS cannot be over emphasised. Fletcher (2008) in Paile (2012:36) states that the effectiveness of performance appraisal is related to the training effort put into it by the departments concerned. Training assists managers and other employees to understand what the thinking behind the performance management system is, what it is trying to achieve, and how it is structured and implemented. Training further assists to introduce and explain the forms and paperwork included. This will assist in allaying anxieties and debating issues during the implementation of performance management. According to Fletcher (2008) in Paile(2012:36), at the start of the training session it is important that a SMS member speak briefly in support of the PMDS, to indicate high-level commitment to it and to emphasise that it is a worthwhile activity.

Training can create a better understanding of what the departments hope to accomplish with the PMDS and create a better understanding of the system, the forms, and the terminology employed(Myers and Venable, 2014:801-809). Fisher(1995:185) claims that performance appraisal training should be given to both appraiser and appraisee, further recommending that the training should include

guidance and training on competencies, the preparations of PAs and plans, the preparation and for and conduct for reviews, ratings and completion of review forms.

Training gives managers' confidence when implementing the performance management system. Training makes them aware of possible rating errors and how to avoid such errors. Training also helps managers/supervisors to understand the performance management system better (Chi, Maier andGursoy, 2013:42-50). Training on performance management helps subordinates to understand the aims and objectives of the system. Training further combats the anxiety that the subordinate might have about the system. Training further helps subordinates on how to draft performance plans, how reviews are conducted and how to complete the relevant forms(Lee and Ok, 2015:84-98). Figure 3.16 depicts the extent to which the respondents agree or disagree that they have been trained on and/ or introduced to the PMDS since joining this department.

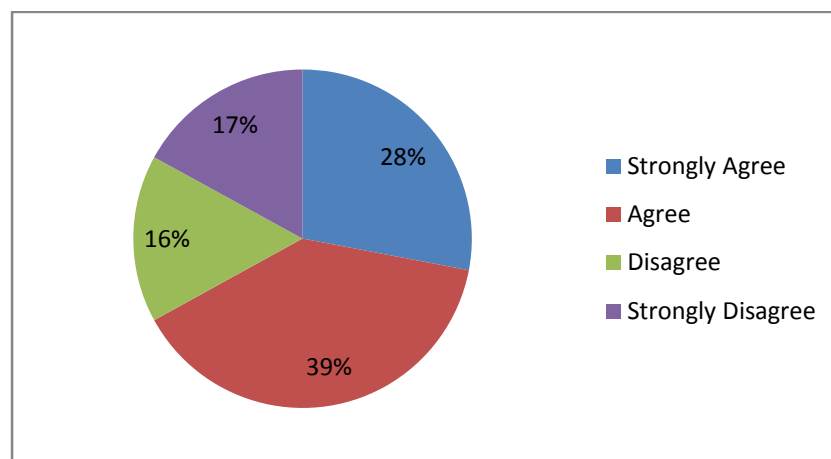


Figure 3.16: Training and introduction to PMDS since joining the department

The following are the results from respondents, on whether or not they have been trained or introduced to PMDS since joining the department:

- Thirty nine percent of the respondents agree that they have been trained on and/ or introduced to the PMDS since joining this Department.
- Twenty eight percent of the respondents strongly agree that they have been trained on and/ or introduced to the PMDS since joining this Department.

- Seventeen percent of the respondents strongly disagree whilst sixteen percent disagree that they have been trained on and/or introduced to the PMDS since joining this Department.

In terms of the above outcome, the majority of participants indicate that they have been either introduced to/ or have been trained in the PMDS. An argument is made that the SMS members are ready for the implementation of PMDS since they have all been trained in this regard. A deduction is made that SMS members understand what PMDS entails, which should result in successful implementation. This outcome supports other related outcomes which demonstrate that SMS members:

- are aware of the existence of PMDS, figure 3.2 indicates the extent to which respondents understand the requirements of PMDS;
- they are aware of, and understand the legislative provisions regarding PMDS based on the results presented in figure 3.1;
- they have implemented PMDS in their directorates/units, as demonstrated by Figure 3.12;
- they agree that PMDS is an appropriate mechanism for SMS members, as reflected in responses to the questionnaire;
- they support the signing of PAs, in line with results presented in figure 3.6;
- That their PAs agree with the PMDS requirements. This is demonstrated by the results captured in figure 3.7; and
- That their PAs identify with their KRAs as represented in figure 3.3.

However, the above outcomes also contradict other outcomes where pertinent problems with PMDS are raised by respondents. Results presented in figure 3.4. Indicate that an overwhelming 83% of respondents say that PMDS is not implemented appropriately in the Department. Some respondents do not agree that PMDS is an appropriate mechanism for SMS members and further indicate that receiving performance feedback is both problematic in its frequency (or lack thereof) as in its nature (being subjective and punitive).

According to the DPSA (2003:32) to address the gap that exists between the required competency profile and actual competencies needed, a training and development plan should be designed for the individual member. The training and development

needs will not only be identified during performance reviews and assessments, but also on initial appointment when the work plan is developed. The existence of gaps between set standards or competencies, on the one hand, and the actual competencies, on the other hand, leads to a need for training and development. In order to address such a gap, between the competency profile and the actually required competencies, a training and development plan should be designed for individual members (DPSA, 2003:118).

Training and development activities should focus on equipping members with the competencies they require to perform effectively in their current jobs and to prepare them for the future. The training and development needs of the members will be determined through continuous monitoring, quarterly reviews and annual assessments (DPSA,2003:32).Figure 3.17 depicts the extent to which the respondents agree or disagree that Personal Development Plans (PDPs) are reflected in their PAs.

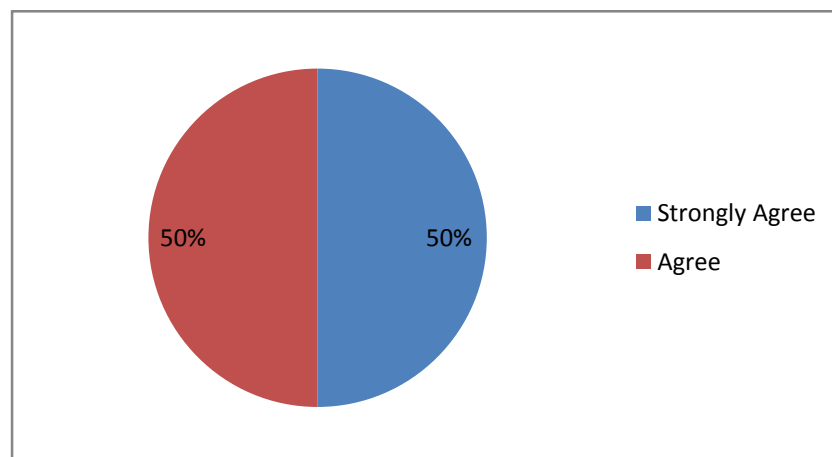


Figure 3.17: Reflection of PDPs in PAs

The results from respondents regarding their views with regards to the reflection of PDPs in PAs indicate that:

- Fifty percent of the respondents strongly agree that PDPs are reflected in their PAs.
- Fiftypercent agree that personal development plans are reflected in their PAs.

Again, the argument is made that the problem with the implementation of the PMDS does not lie in the forms and documents required as products of the PMDS. Challenges rather relate to the manner in which implementation is facilitated through performance monitoring and feedback. The fact that it is important in terms of the SMS Handbook (DPSA, 2003:17) to identify developmental requirements of the member of the SMS through using the self-assessment tool produced by DPSA and ensuring that such undertakings are done as part of the PA of an individual, points to the priority given to training (DPSA, 2003:17).

More important is the agreement on the steps to be taken to address the developmental gaps and the date at which a review of progress will be undertaken (DPSA, 2003:17). The members of the SMS may agree that PAs should include development plans but that is not enough.

3.7 GENERAL OBSERVATIONS

The PMDS of SMS members is not without challenges in respect of its implementation. SMS members are themselves duty bound to see to it that they understand the implementation of the System and coach their employees on its implementation. The challenges presented above, such as the inappropriate implementation of PMDS and some respondents indicating that PMDS is not an appropriate mechanism for SMS members as it does not facilitate performance feedback, among others, indicate the extent to which work has to be done in order to ensure that even SMS become committed to the effective implementation of the PMDS. The results indicate that SMS members understand the importance of performance management but are not engaged in ensuring that the PMDS is successfully implemented throughout the department, on all levels.

Whereas the majority of the respondents gave responses that indicated their active involvement in the implementation of their PMDS, it is apparent that a great deal of their responsibility still remains a challenge. A further contradiction emerges, which is informed by the outcome of this research. In terms of the respondents, who are the subject of this research (SMS members), it seems as if the implementation of PMDS processes in the directorates they lead, is happening in line with set expectations. However, measured against the results related to feedback the complexity of the

challenge emerges. The study argues that the feedback challenges they experience may also translate into providing feedback to their own subordinates, which in turn affects the implementation of the PMDS at all levels of the Department. When SMS members are disengaged in the management of their own performance, then the management of their subordinates' performance also becomes problematic.

3.8 CONCLUSION

The role that the SMS plays in implementing PMDS is of strategic importance. And there needs to be more time spent on providing feedback to encourage greater commitment shown by SMS members the implementation of the System. Some challenges have been identified between what happens *versus* what actually needs to happen in the implementation of certain PMDS components. Some contradictions have also been highlighted in this Chapter, specifically where respondents show that the PMDS process is actually taking place, but then also point that it is not being implemented correctly, whilst they say at the same time that they have been trained and that they understand PMDS. The following Chapter looks at proposed strategy aimed at dealing with the implementation of PMDS for SMS members in the Department of Public Works, Roads and Transport in the North West Province.

CHAPTER 4: PROPOSED EMPLOYEE ENGAGEMENT STRATEGY TO ENHANCE SENIOR MANAGEMENT SERVICE PERFORMANCE MANAGEMENT AND DEVELOPMENT

4.1 INTRODUCTION

The preceding Chapter focused on challenges related to the implementation of PMDS for SMS members and provided analyses of findings pertaining to the legislative and policy environment; challenges in performance planning, monitoring and feedback as well as the training and development aspects of the PMDS. Ultimately, the results revealed that specific aspects of the PMDS takes place, i.e. signing PAs and being trained, but that other aspects related to ensuring proper support for the System are neglected, i.e. feedback and ensuring employee engagement in planning, feedback and development.

Thus, this Chapter explores the concept of employee engagement as a strategy of improving performance within the Department of Public Works, Roads and Transport in the North West Province. The concept of employee engagement is presented within the context of performance management in the Public Service. The Chapter starts with the definition of the concept strategy, after which employee engagement are conceptualised as the strategy to enhance SMS performance management and development

4.2 STRATEGY DEFINED

The Oxford Dictionaries (2013) defines a strategy as a plan of action which is designed to achieve a long term goal or overall aim. In their book "The strategy process", (Mintzberg, Lampel, Quinn and Ghoshal, 2003:3) posit that the word strategy can be defined from five angles, namely as a plan, a ploy, pattern, a position and perspective. For the purpose of this research, the definition of strategy as a pattern seems relevant, which implies that a strategy is defined as a pattern to affect consistency in behaviour, whether intended or not (Mintzberg *et al.*, 2003:4).

A strategy may also be defined as a plan of action "that links methods to outcomes, governs our choice and use of methods" (Creswell, 2003:3-26). Clearly within this

realm, an investigation has a choice of research strategy to adopt in conducting any piece of research task. Hence reference may be made to a myriad of strategies, such as business strategy, legal strategy, corporate strategy and so on. A good strategy is a part of good business(Thompson and Strickland, 2001:17-18).

A good strategy provides a clear, compelling direction that guides and motivates employee's choices. Some of the advantages of a good strategy are from the point of view of(a) providing better guidance to the entire department about the purpose of the department; (b) making managers and departmental members more alert to new opportunities and threats; (c) helping to unify the department; (d) creating a more proactive management culture; (e) promoting development of an evolving business model that will produce sustained-bottom line success; and (f) providing managers with a rationale for evaluating competing budget requests and that further steers resources into a strategy supportive environment and results producing areas(Thompson and Strickland,2001:17-18)

Equally important employees should have a vivid picture and deep understanding of why the department exists, where it's headed, and how it will get there from the strategic focus. According to Juechter, Fisher and Alford, 1998:63-68), employees should know what's required of them, as individuals and as team members to advance the business of their departments.

In light of the above the study argues that strategy plays a critical part in shaping the directions of any department and also serves as an effective communication tool used by senior managers to disseminate information or instructions to the lower level employees. This is because employees might need to understand the larger context of the decision being made and provide adequate inputs to assist the department towards achieving departmental goals at the end of the financial year. Effective communication with employees is a leading or predictive indicator of departmental performance(Attridge, 2009:383-398). The Department of Public Works, Roads and Transport need to develop an employee strategy to enhance SMS performance management and development by fully engaging them in the implementation of the PMDS process. Through employee engagement working together as employer and employee will satisfy both departmental goals and personal needs, and it will assist the Department to deal or address the challenges. The findings

support Sutherland et al. (2015:17) who argue that poor performance may be due to lack of employee ability, misunderstanding of performance expectations, lack of resources, lack of feedback, or the need to meet the performance standard.

Throughout the research emphasis has been placed on the need for employees to be engaged in the planning, implementation, feedback and development of their performance. As such the study acknowledges that understanding employee engagement is critical to the proposed strategy formulation.

4.3 CONCEPTUALISATION OF EMPLOYEE ENGAGEMENT

Employee engagement can be conceptualised as the engagement of employees towards the realisation of the goals of a department in terms of improved performance. It is seen as the critical component to the success and competitiveness of a department (Gruman and Saks, 2011:123-136). As these authors have suggested, it is by involving and fostering the participation of employees in a department that effective performance management can be enhanced. Paying attention to employee effective participation not only complements and strengthens the various performance processes, but it also delivers the desired and expected performance.

Employee engagement is defined as a “sense of feeling, an intrinsic employee connection, and the fulfilment of the psychological contract and a culture of tapping in to discretionary effort” (Delbridge and Keenoy, 2010:785). Accordingly, this engagement is perceived by the employees to be sincere, authentic and establishes a culture of departmental commitment and job satisfaction. This type of commitment and job satisfaction in turn triggers a train reaction of increased production and profits, innovation, customer ratings, employee turnover and stakeholder and shareholder value (Harter, Schmidt and Hayes 2002:268; Markos and Sridevi, 2010:89).

Employee engagement in practice refers to a desirable condition of employees within the department relative to the departmental impact. It comprises attitudinal as well as behavioural elements, including involvement, passion, enthusiasm, focused energy and efforts (Macey and Schneider, 2008:1,3-30). This implies that departmental

conditions are seen to influence these attitudes as well as departmental effectiveness.

Employee engagement is defined by(Maslach, Schaufeli and Leiter,2001:417) as a “persistent, positive affective motivational state of fulfilment in employees and characterised by vigour, dedication and absorption”, which entail that:

- vigour is characterised by high levels of energy, willingness and resilience;
- dedication is characterised by strong involvement in one’s work together with feelings of enthusiasm, inspiration and sense of pride; and
- absorption refers to a pleasant state of total immersion in one’s work where time passes quickly and being unable to detach oneself from the job.

Employee engagement is positively related to departmental commitment (Demerouti *et al.*, 2001:279-286)which in turn is expected to affect employee performance(Kahn, 1990:692-724). Managers must cultivate employee engagement given that disengagement, or alienation, is central to the problem of an employee’s lack of commitment and motivation(Aktouf, 1992:407-431) This study argues that employee engagement can increase productivity of both the employee and the department, and as a result the department has to consider employee engagement in relation to being effective, efficient and responsive to the PMDS challenges identified in this study. This study recognises that specific focus should be placed on employee engagement since a large number of employees are not informed that they add value to the department that they work for. The engagement of employees therefore motivates them to perform efficiently knowing that they are making a difference and that their efforts are appreciated.

4.3.1 Levels and types of employee engagement

There are three levels of engagement (Konrad, 2006:11-14), namely:

- Level 1: engaged employees work with passion and feel a profound connection to their department. They drive innovation and move the department forward.

- Level 2: not engaged employees essentially “check out”. They are sleep walking through their work day, putting time, not energy or passion, into their work.
- Level 3: actively disengaged employees aren’t just unhappy at work they are busy acting out their unhappiness. Every day, these workers undermine what their engaged co-workers accomplish.

These levels prove that departments with actively engaged employees can produce positive results and stay focused on achieving departmental goals and employees will be able to drive the department’s growth. In addition, employees who are highly engaged in their work processes including with performance planning, monitoring and feedback and other activities related to performance management will be in a better position to support the implementation of such processes. Therefore it is the responsibility of the employer to provide employees with meaningful engagement in order to eliminate or minimise challenges in the work environment. Employee engagement is strongly related to job characteristics that are associated with the meaningfulness of their work(Christian, Garza and Slaughter, 2011:89-136).

Thus, this study acknowledges that departments with actively engaged employees stay focused on achieving realistic employee and departmental goals. Taking into consideration that disengaged employees negatively affect their co-workers, the department should focus on actively involving seemingly disengaged employees. Disengagement leads to the lack of departmental commitments (Aktouf, 1992:17,407-431), which supports the fact that without the commitments of the employees, teamwork is impossible and achieving departmental goals becomes challenging. Employee engagement can be seen as an antecedent of departmental commitment in that individuals who experience a high level of engagement in their jobs identify with their organization (*Maslach et al*, 2001:397-422).

For the purpose of this study the proposed employee engagement strategy to support the existing PMDS for SMS members are discussed with specific focus placed on how employee engagement can enhance performance management and development of SMS members in the Department of Public Works, Roads and Transport. This is done in an attempt to resolve the critical challenges revealed in the previous Chapter.

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4.4 PROPOSED EMPLOYEE ENGAGEMENT STRATEGY TO ENHANCE PERFORMANCE MANAGEMENT DEVELOPMENT SYSTEM.

According to Saks(2006:600-619), employees who experience engagement also experience increased trust in their department which is seen in their positive attitudes towards the department. Schaufeli and Bakker(2004:293-315) further explain that engaged employees are better performers and their performance impact on client satisfaction which, in turn, impact the profitability and achievement of departmental goals. The proposed strategy focuses on employee engagement to enhance as integral to performance management and development within the Department to ensure that individuals are fully engaged, connected, and focused on their work.

The above indicates that employee engagement in the work environment is very essential because the employer may expect higher performance scores. According to Bakker(2011:265-269) engaged employees are seen to perform much better than their less engaged counterparts. This means that highly engaged employees contributed to increased productivity and departmental success. Therefore it is important to consider employee engagement in order to address or eliminate the challenges experienced in, for instance, inadequate performance management, lack of monitoring and feedback, including PAs which were reported not signed on time, as well as poor performance for SMS members. The strategy is conceptualised in accordance with the themes analysed in the previous Chapter and presented in the following sections.

4.4.1 Performance planning

The mixed findings of this study illustrate that the need for employees to be engaged in the planning, implementation, feedback and development of their performance has never been factored within the performance planning cycle of the Department of Public Works, Roads and Transport in the North West Province. As such, this study acknowledges that understanding employee engagement is critical to the proposed strategy formulation.

Performance planning is a critical aspect in performance management because PAs, for instance, are aimed at outlining expected behaviour to be achieved and the

expected standards of performance (Hitka and Bálázová, 2015:348-355). The improvement must focus on ensuring that all employees' PAs have departmental objectives that include the activities to be performed to ensure employees are informed of what is expected of them. However, by focusing on engagement employees are not only informed of expectations, but willing participants in setting expectations and accepting ownership for the realisation thereof. The PAs must be signed before the beginning of the financial year and must support the objectives in the operational plan. PAs should be reviewed and amended whenever the operational of the unit changes in order to maintain the alignment of the employee's PAs to the units operational plan and to ensure that the individual PA remain valid and relevant. The findings suggest that plans may have been developed and put in place but were not measured against the specific objectives of the PMDS process. More importantly, the findings also suggest that not all the SMS members were engaged in the PMDS process, hence the incongruity in the findings where the majority (58%) signed their PAs on time whereas the remainder did not.

Whittington and Galpin(2010:14-24) argue that a department needs to empower line management to drive the performance process. It is the responsibility of line managers/supervisors to monitor and manage the development of individual performance within the set timeframe to ensure that employees are informed of their responsibilities to be performed and that they are given sufficient time to achieve the set targets .However, the emphasis should again not be in being informed, but on being actively engaged in setting performance objectives.

The findings suggest that respondents lack commitment, energy and drive to take on this management responsibility. The reason for this being that they are not engaged by their own managers in setting their own performance objectives. Arising from the mixed findings which illustrate the contrasting opinions of the SMS members within the Department of Public Works, Roads and Transport, it is quite evident that SMS members have difficulty believing in and being connected to the departmental philosophy, strategy and direction. Under these conditions, the alignment of PAs to the PMDS within the performance planning process is virtually non-existent.

As discussed in Chapter Two of this study, performance planning includes the development and signing of PAs, and aligning them to the broader goals and

objectives of the department whilst at the same time ensuring that they reflect the KRAS and CMCs. The study attempts to suggest ways through which employee engagement could be utilised to positively influence performance planning within the Department of Public Works, Roads and Transport in the North West Province. As such, this study acknowledges that understanding employee engagement is critical to the proposed strategy for the Public Service.

Given the mixed and to a certain extent contradictory findings of this study, it is proposed that the SMS members must not be involved in the development of performance plans, but should also be involved in measuring the implementation of those plans in terms of the results they yield through an engagement process that aims at improving the skills, entrenching a new dynamic culture of commitment accountability and development of all employees of the department (Markos and Sridevi, 2010:89). The SMS members as leaders of the department should be the recipients of as well as employ authentic, innovative, adaptable and dynamic ways that are characterised by a culture of trust and departmental support in their engagement with all the employees. This in turn should create and foster opportunities for the growth of all the employees. The development of coaching and good relationship programmes for employees, through linkages between the departmental goals with those of the individual employees should result in the achievement of an effective and efficient performance planning for the department as a whole.

4.4.2 Performance feedback

Regular and constructive feedback is considered to be very important in the sense that if communicated effectively employees would be able to achieve departmental goals. Biron, Farndale and Paauwe (2011:15-19) argue that managers lack skills in providing honest feedback, which negatively impacts the employee who maintains a defensive stance and feel threatened. For the purpose of effectiveness and efficiency employee engagement strategy is considered to be very essential and can be put in place in order to improve the condition of employees and to ensure that the PMDS is effectively implemented in the Department of Public Works, Roads and Transport. Employee engagement can be used to improve performance feedback.

The findings of this study have shown that supervisor feedback represented a challenge at the Department of Public Works, Roads and Transport. The study argues that feedback is an area that needs urgent improvement in this Department because the majority of the respondents claim their supervisors do not give them regular feedback. It is important for employees to be given feedback on their performance in order to know if they are doing what is expected of them and if they are reaching their targets (Al-Sinawi *et al.*, 2015:23-30) support the idea of supervisors giving feedback to employees because they see performance as a primary developmental need because all employees want to know how their supervisors feel about their performance. This implies that feedback should not only be given during formal performance assessment sessions but must be continuous to keep employees on the right track. By providing continuous feedback, employees are further engaged in their own performance management and development. The opportunity is also created for enhanced understanding of performance challenges in the realisation of departmental goals and objectives.

From the above it is clear that through communication, supervisor feedback is an important engagement process between the supervisor and the employee, at which performance rating and performance information is made available through an on-going open dialogue. In the case of the Department being studied the majority of respondents indicated that feedback exists, but that it lacks regularity which results in misunderstanding of the PMDS process. The results indicate that feedback received on SMS performance is insufficient because only 47% of the respondents indicated that they received adequate feedback on their performance. Stroh and Varma (2001:309-320) argues that feedback should also include information about performance that allows employees to adjust their performance. Stroh and Varma (2001:309) further highlight that in order for feedback to be effective, departments need to establish mechanisms through which employees are provided with adequate information. The study notes that it is critical for the Department to improve the necessary skills related to feedback mechanisms through which employee performance could be determined.

The proposed strategy to enhance performance feedback through employee engagement should therefore have all the components of performance and

engagement appraisal and feedback, as suggested by Gruman and Saks (2011:132) which include the following:

- trust and justice during performance appraisals;
- engagement appraisals; and
- feedback.

Through employee engagement it is important to evaluate employees on relevant work related issues and criteria and not on something over which employees have no control. By employing this mechanism of evaluation employees are bound to perceive the process as fair. Perceptions of fairness contribute to higher levels of trust, which in turn positively affects employee engagement. Such an approach of engaging employees, in this case SMS members, should make them comfortable throughout the evaluation process and thus, enable them to fully express themselves without any difficulties. Under such an enabling evaluation environment, those being evaluated gain trust in the process as being fair and just. According to Pulakos(2009:6-12), productive performance dialogue is unlikely to yield positive results if the relationship between the supervisor and subordinate is characterised by a lack of trust.

As further noted by Macey and Schneider(2008:3-30), for employees to feel and act engaged in the evaluation process, the element of trust should play a central role. According to Macey, Schneider, Barbera and Young(2009:67) the twin issues of trust and fairness represent the Achilles heel of engagement between the supervisors and subordinate as employees feel they are being rewarded for investing their time, personal resources and energy in the entire engagement process. Under such a situation that is characterised by trust, employees, according to Kahn (1990:33,692-724) can predict the upcoming evaluation process as nonthreatening but a supportive management event for them which they perceive as fair and just. A fair and just environment of employee engagement constitutes “distributive justice, procedural justice, interactional justice and voice”(Latham,Almost, Mann and Moore, 2005:35). When employees have a voice within a Public Service or department, it means that their views are taken into account with requisite attention, and as such they result in increased participation of employees in the performance management process. Under these conditions in which employees have higher positive perceptions of the performance management process and are therefore motivated. Behavioural

engagement is achieved through engagement appraisals that assess the extent to which performance goals have been attained. This in turn represents what Schaufeli and Salanova (2008:380-402) have termed the Employee Development Agreement (EDA). The readjustment of goals and objectives of the department, including the provision of the necessary resources are then monitored periodically through the EDA. Under the EDA, not only are behavioural goals agreed upon in advance, but incentives and recognition is provided to employees as meaningful mechanisms aimed at supporting the "psychological conditions that produce engagement" (Kahn, 1990:33).

Employee engagement and performance are likely also to be promoted by positive feedback. As Schaufeli and Salanova (2007:135-177) have suggested that the socio-economic conditions within a department, including job resources and feedback impact engagement positively. However, as noted by Baron and Richardson (2004:26) destructive criticism results in hurtful effects to employees and therefore have a negative relationship with the achievement of the desired performance. This does not suggest that feedback should not constitute an honest and helpful assessment of performance, but rather that it should not be hurtful and harmful to the "sense of psychological safety" and "self-esteem" of an employee as this undermined engagement (Schaufeli and Salanova, 2007:135-177). Feedback should promote the psychological safety of all SMS members through honest, trustworthy and supportive sensitive assessments that recognised the individual differences all the employees. In a nutshell, the promotion of the sense of psychological safety of employees enhanced engagement as a proposed strategy for the Department of Public Works, Roads and Transport in the North West Province.

4.4.3 Performance development

The lack of training and relevant skills is seen as one of the fundamental inhibitors in employee engagement and performance management (MacLeod and Clarke, 2009:62). This proves that without the necessary training, skills and participation in employee engagement there would be not enough productivity in the department. This implies that with more consistent engagement between employees and the managers, there will be greater improvement in the department, and positive results could be seen. This can only be achieved by managers through employee

engagement in the planning, implementation, feedback and development performance. The findings support the argument advanced by Sutheewasinnon, *et al.* (2015:12) that poor performance may be due to the lack of employee ability, misunderstanding of performance expectation, lack of resources, lack of feedback or the need to meet the performance standards.

Based on the foregoing discussion in this Chapter, it is the argument of this study that all the component parts discussed above constitute performance development through employee engagement (Cardy and Leonard, 2004:22-32). Performance development of employees through engagement is a critical aspect of the effectiveness of the Department of Public Works, Roads and Transport. Without the performance development of employees who represent the human resources of the Department, the delivery of the desired performance in respect to objectives and goals can never be accomplished.

As the main driver of increased performance within a department, employee engagement ultimately leads to improved personal development of the employees (Gruman and Saks, 2011:123). As a department achieves its goals and objectives through an interactive implementation of its policies, objectives and all other related activities in an effective employee engagement process, the personal development of employees is also accordingly realised. It is the realisation and satisfaction of individual goals alongside those of the department through this engagement that results in improved personal development of the employee (Harteret *al.*, 2002:87,268-279).

Employee engagement provides departmental support and creates opportunities for the employees to grow and thereby enhancing their personal development. Coaching programmes and other support mechanisms within this engagement process, including the provision of work related resources play a critical role in enhancing the personal development of employees (Harteret *al.*, 2002:87,268-279). Positive feedback also plays a significant role in enhancing the personal development of employees. As has been observed by Ryan and Deci (2000:68-78), employees will identify themselves with the department only when they are provided with opportunities for career development, opportunities to manage their careers, opportunities to develop themselves and opportunities to share in the success of the

department. Management must recognise that employee development is a continuous cycle of setting performance determining performance training, conducting performance assessment and providing performance recognition Antonakas *et al.* (2014:455-462) and García-Carbonell, Martín-Alcázar and Sánchez-Gardey (2014:455-462) state that skills development is a critical component of performance management and, thus, the study argues that it should be given priority in this Department in order to eliminate or minimise performance obstacles.

Personal development of employees through the engagement process is also realised in an appreciated and rewarding environment (Rothmann, 2003:16-25). For employees to grow, the engagement process must provide an enabling environment that is enjoyable that recognises the contributions of the employees, that encourages innovative and better ways of doing their work and whose supervisors create a motivating environment for all the employees. However, the personal development of employees could be hampered by high levels of engagement that are not accordingly recognised and rewarded (De George, 2011:5).

Excessive job demands driven by high levels of persistence, proactivity, role expansion and adaptability result in employees feeling exhausted (Macey *et al.*, 2008:3-30) and this burnout situation is then characterised by low levels of performance (Schaufeli and Salanova, 2007:135-177). When employees experience burnout they are likely to disengage, withdraw and “defend themselves physically, cognitively and emotionally during role performance” (Kahn, 1990:33). This in turn could have an adverse impact on their personal development. What this suggests therefore is a balanced engagement process that results in the effective performance development of employees whose general health is not compromised by exhaustion and burnout.

The above emphasis on employee engagement to enhance performance management and development, thus, focuses on supporting the existing PMDS by focusing on strategies through which employees can be engaged during performance planning, performance feedback and performance training and development. Emphasis is placed on ensuring the communication serves as a mechanism through which employers and employees exchange information regarding performance objectives and the achievement thereof. Communication needs to be reciprocal and

to support a trusted environment for performance management and development to be successfully implemented. Specific recommendations to achieve this are provided in the following Chapter.

4.5 CONCLUSION

This Chapter focused on the proposed strategy to enhance SMS performance management and development through employee engagement. The strategy that informs this study was conceptualised in this Chapter. Employee engagement as integral to the PMDS could positively influence productivity, morale and commitment within the Department of Public Works, Roads and Transport in the North West Province.

The proposed strategy formed a major part of discussion and analysis in this Chapter in which attention was paid to performance planning, performance feedback and performance development. Employee engagement could be utilised by the Department to address the challenges experienced with the current PMDS for SMS, as described in the previous Chapter.

In conclusion, employee engagement is a relatively recent concept in the literature and, thus, adds a new dimension or aspect to the manner in which performance is managed and developed within the Public Service. The following Chapter highlights specific conclusions and recommendations that emanated from the study.

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

The aim of this Chapter is to draw conclusions from the gathered data and determine whether research objectives and research questions have been addressed and answered. The research objectives of the study were:

- to describe the legislative and policy environment that supports the effective implementation of the PMDS for the SMS of the Department of Public Works, Roads and Transport in the North West Province;
- to determine the challenges in conducting regular performance reviews and an annual performance appraisal for members of the SMS in the Department of Public Works, Roads and Transport in the North West Province; and
- to propose recommendations that can be considered in order to ensure that the implementation of the PMDS for SMS in the Department of Public Works, Roads and Transport in the North West Province is successful.

In providing summaries of each of the chapters, reference is also made to the extent to which the above research objectives were addressed.

5.2 SUMMARY OF THE CHAPTERS

Chapter One of this study provides for the orientation and the statement of the problem for this study, which in turn resulted in the formulation of research objectives and research questions. Chapter One proceeded to provide the research methodology paying particular attention to the MMR approach to the study. Within this context the target population for this study was identified and discussed. The discussion of the research methodology included a discussion of the data analysis strategy and the significance of the study was outlined. The Chapter concluded with a proposed lay-out of chapters. As an introductory chapter, Chapter One fulfils the requirement of identifying the need for a study to be conducted. In this regard, chapter one identified the need for research to be conducted focusing on challenges experienced in the implementation of the PMDS for SMS members.

Chapter Two of this study presented the legislative and regulatory framework supporting the study. Emphasis was placed on defining and conceptualising the performance management and development process, performance planning, performance monitoring and feedback and training development. An analysis of the legislative environment enabling the PMDS was also provided. In this regard the Chapter addressed the first research objective which was to describe the theoretical and legislative frameworks supporting and enabling performance management and development in the Department. The importance was recognised that the SMS members in the Public Service had to be supported through specific training and development programmes so as to reward and achieve departmental goals.

Chapter Two further emphasised that the PMDS was introduced as a critical tool which measured performance, identified shortfalls, gaps and challenges with regard to performance planning, monitoring and evaluation. The PMDS needs to be strategically aligned and integrated into all Departmental processes to ensure the proper realisation of Departmental strategies and plan. The SMS Handbook (DPSA, 2003) was seen to be an important management tool that introduced necessary competencies in planning and management through the implementation of competing policy considerations and reporting on performance management in the Public Service.

This Chapter of the research study also found that the PMDS for SMS had to be consultative, supportive, and non-discriminatory in pursuit of the achievement of department goals within the Public Service. Management processes had to be aligned and linked to employees' development plans, poor performance should be addressed with transparency and fairness to enable employees to grow in the Department. Within this context the application of CMCs was a mandatory assessment tool for the realisation of proven managerial competencies

Chapter Three analysed the different perceptions of employees regarding the implementation of PMDS for SMS members in this Department. Chapter Three of this study determined the nature of the actual reality and challenges experienced within the Department of Public Works, Roads and Transport regarding the implementation of the PMDS for SMS members. In this regard the Chapter addressed the second research objective of determining the challenges in the implementation of the PMDS

for SMS members within the Department. The study found that the majority of respondents (67%) agreed that they all understood the requisite pieces of legislation governing the PMDS, which seems to contradict findings pertaining to actual implementation where the majority of respondents (83%) indicated that PMDS for SMS members is not properly implemented. The findings in Chapter Three further found that the majority of respondents (61%) stated that they signed their PAs on time, but there appears to be a lack of consistency especially given that all the respondents had responded affirmatively to the importance of signing of PAs. This implies that SMS members recognise the importance of PAs as a tool for achieving the Departmental objectives but also recognise that they are not engaged in signing their PAs on time.

The Chapter further found challenges to exist within the performance planning, performance feedback and performance training aspects of the PMDS. The Chapter identified the nature of these challenges in order to enhance the understanding of current performance challenges that the Department faces.

Chapter Four of this study was concerned with the proposed strategy for engaging employees to enhance the PMDS for SMS members in the Department. The proposed strategy which could contribute to improved performance management and development in the Department, if adopted, integrates employee engagement during all aspects of the PMDS including performance planning, performance feedback, and performance training. In this manner this Chapter addresses the research objective which seeks to propose recommendations towards the successful implementation of the PMDS for SMS members within the Department. The engagement of employee was found to be a powerful tool that appealed to the sense of belonging and commitment of the employees. Chapter Four further emphasises the significance of employee participation in the PMDS process to enable the Department to improve the conditions of implementation of the PMDS for SMS members.

Chapter Five focuses on conclusions and recommendations to address identified challenges and shortcomings obtained in this study to improve the conditions of work environment through proposed strategy.

5.3 RECOMMENDATIONS

The study recommends that employee should be provided with meaningful engagement in order to eliminate or minimise challenges/obstacles identified in Chapter Three of this study. Recommendations are provided thematically as was done with the analyses of findings.

5.3.1 Recommendations on the perceptions of the SMS members regarding the legislative and policy environment.

As the findings of this study have shown in the course of this research, 83% of the respondents stated that the PMDS was not being implemented appropriately in the Department. This finding indicates a serious challenge regarding the implementation of the PMDS for SMS members. The recommendation is that the proposed strategy which includes employee engagement should contain a discussion of the legislative and policy framework that supports the PMDS. The proposed strategy should describe how it is aligned with the strategic plans of the Department and how Departmental goals and objectives are addressed through its implementation. The strategy should further contain a description for the assessment and evaluation of the entire PMDS process to determine the challenges that need corrective action.

The study acknowledges that should the foundation information contained in the strategy not be provided, subsequent recommendations could be affected. The argument is made that at every stage of the proposed strategy, communication should play a major role in order to ensure that everybody understand their roles and are involved so as to increase performance and other associated benefits. This would increase the confidence and self-esteem of all SMS members. A negative perception regarding understanding of legislative requirements is replaced by positive ones which in turn can only lead to the overall positive performance of the entire Department.

5.3.2 Recommendations on the perceptions of the SMS members regarding performance planning

Employee engagement during performance planning enhances a sense of commitment and ownership for the implementation thereof. The study recommends

that the proposed strategy includes specific core competencies linked to employee engagement so that both employers and employees can be measured based on these competencies. The competencies would relate to abilities to establish trust, enhance participation and illicit commitment from both employer and employee in the successful implementation of the PMDS. Performance planning should thus not only comprise performance targets, but should also comprise descriptions of the environment in which these targets are to be met. A supportive and caring employer is able to engage its employee and thereby realise its objectives and goals.

5.3.3 Recommendations on the perceptions of the SMS members regarding performance monitoring and feedback challenges,

Performance feedback, and the lack of training development thereof, has been shown to have a definite influence on the successful implementation of the PMDS. The study recommends that as part of the proposed strategy, employee engagement be specifically included as part of performance feedback. This will only be achieved if employee engagement is part of the feedback discussion. Should employee engagement competencies be included in performance planning, then feedback regarding these competencies can be realised during performance feedback sessions. The study argues that the only way to ensure engaged employees is to make sure that engagement is conceptualised and included in the PMDS, either as performance indicators or core competencies.

5.3.4 Recommendations on the perceptions of the SMS members regarding performance training and development challenges

The study has argued that training is an important aspect in the PMDS which implies that employers and employees should both be trained in how to ensure the proper implementation of the PMDS, in this case for SMS members. The study recommends that all SMS members be trained for the implementation of the proposed strategy which now includes additional aspects related to employee engagement during performance planning and feedback. The study recognises that should employees not be trained in how to use the new strategy, they will just perceive the strategy as no different from previous performance strategies and carry the same negativity over to the implementation of the proposed strategy. Employee engagement is specifically

suggested as an aspect through which employee commitment to the PMDS could be enhanced, but that implies that employees understand the nature of employee engagement as well as the reciprocal performance relationship that is established through employee engagement.

- The recommendations of the study thus include: that the proposed strategy which now focuses on employee engagement during performance planning and feedback also entails sections describing the legislative and policy performance obligations of both employer and employee as well as a description indicating how engaged employee performance contributes to the realisation of Departmental goals and objectives;
- that employee engagement be included during performance planning by specifically including competencies to facilitate employee engagement as part of the PAs of SMS members;
- that employee engagement be addressed during performance feedback sessions because of its inclusion in the PAs of SMS members; and
- that SMS members receive training in the proposed strategy which focuses on employee engagement as an aspect to positively influence employee commitment and ownership during the implementation of the PMDS.

5.4 CONCLUSION

The Chapter described the need for employee engagement as integral part of the PMDS. The Chapter provided summaries which argued that all research objectives and questions presented in Chapter One were answered. The Chapter concluded that specific recommendations needed to be considered for the successful implementation of the proposed strategy. The research suggested that the main challenges in the implementation of the current PMDS related to issues which could be addressed through employee engagement. Further research is necessary to determine whether the proposed strategy would have the intended beneficial outcome on both employee and Departmental performance.

Performance management and development were researched extensively although the specific emphasis on SMS members was considered to be a new contribution to the body of knowledge. The role that SMS members play in ensuring the

Departmental goals and objectives was properly cascaded down all employment levels has been made clear. The study argued that the central role played by SMS members affected Department performance as well as subordinate performance. The study has proven that, should the PMDS of SMS members be challenging, then the performance management and development of subordinates become almost impossible. Thus, through employee engagement, the study argues that employee commitment and ownership of the PMDS from the SMS levels down are necessary for the productive functioning of the Department of Public Works, Roads and Transport.

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ATTACHMENT A

RESEARCH QUESTIONNAIRE

TOWARDS AN IMPLEMENTATION STRATEGY FOR SENIOR MANAGER PERFORMANCE MANAGEMENT AND DEVELOPMENT IN THE DEPARTMENT OF PUBLIC WORKS, ROADS AND TRANSPORT IN THE NORTH WEST PROVINCE

Researcher: N Nthutang
Supervisor: Professor G. Van Dijk

AIM OF THE QUESTIONNAIRE

The study seeks to establish an implementation strategy for the senior manager performance management and development system within the Department of Public Works, Roads and Transport in the North West Province. The researcher is a student at the North West University, Potchefstroom Campus. The research will be made available to the Department after completion.

INSTRUCTIONS

You are kindly requested to answer all the questions honestly and truthfully. Your answers will be kept strictly confidential and participation is anonymous and voluntary. Please devote approximately 20 minutes of your time and tick the appropriate space.

SECTION A: BIOGRAPHIC PARTICULARS

A.1 GENDER

Male		Female	
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A.2 ETHNIC GROUP

African		White	
Coloured		Indian	
Other: please specify			

A.3 AGE CATEGORY

20-29		30-39		40-49		50-59	
60+							

A.4 POSITION LEVEL

Director		Chief Director		Deputy Director General		Director General	
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A.5 YEARS OF SERVICE

1-4		5-9		10-14		15-19	
20+							

SECTION B: UNDERSTANDING THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

No		Strongly agree	Agree	Disagree	Strongly disagree	Don't know
B.1	I understand the legislative requirements governing the Performance Management and Development System (PMDS) for SMS in the Public Service					
B.2	I understand the PMDS requirements for the SMS members in the Public Service					
B.3	I have been trained on and/or introduced to the PMDS since joining this department					
B.4	I consider the signing of the Performance Agreement (PA) to be important					
B.5	I have implemented the PMDS in my directorate/unit/section					
B.6	My PA complies with the PMDS Requirements					
B.7	My PA identifies the Key Result Areas (KRAs)					
B.8	My PA reflects the Batho Pele Principles (BPP) as measured against the KRAs					
B.9	The BPPs are also reflected against the Critical Management Criteria (CMCs)					
B.10	The Personal Development Plans (PDPs) are reflected in my PA					

B.11	The dates for the Performance Review (PR) are contained in my PA					
B.12	The role of a mediator is provided for in my PA in the event that there is a dispute between myself and the employer					
B.13	My work plans are included in the PA					
B.14	My PA is signed on time					
B.15	The KRAs in my PA are aligned with the strategic and operational plans of the department					

SECTION C: UNSTRUCTURED QUESTIONS

C.1. Do you think that the PMDS is an appropriate performance measurement mechanism for SMS members? Support you answer with an appropriate example

.....

C.2 Do you think the PMDS is appropriately implemented in your department?

.....

C.3 What is your opinion regarding the drafting and signing of a performance agreement? Do you consider this to be appropriate for an SMS member? Support your answer by providing an example.

.....

C.4 What is your opinion regarding the manner in which your assessment is handled?

.....

C.5 What is your opinion regarding the disciplinary measures taken for unsatisfactory performance? What does it entail and is it appropriate for an SMS member?

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