PERFORMANCE MANAGEMENT DEVELOPMENT SYSTEM IN LIMPOPO REGION OF THE CORRECTIONAL SERVICES DEPARTMENT

by

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I, Edzisani Daniel Ndou, Student number 37256386, declare that "Performance management development system in Limpopo region of the Correctional Services Department" is my own work and that all the sources used as reference in this research are acknowledged by means of complete references.

Signature

(Edzisani Daniel Ndou)

Date

2013-07-15
Summary

The study focuses on an overview of the performance management and the development system in the Department of Correctional Services with special focus on Limpopo province, Mpumalanga province and Northwest province (which is referred to as Limpopo region in this research). The main research question was “what does the current performance management development system in the Department of Correctional Services in the Limpopo region look like?”

The relevant literature was consulted and in order to gain a clear view and understanding of performance management in general. The overview focuses on the general concept of performance management so as to understand it, its origin, purpose, benefits, advantages and disadvantages. The second part focuses on the performance management system in the general Public Service. This was done in order to establish whether there is any alignment between general performance management and what is being implemented in the Public Service. It was established that there is no difference between the general concept of performance management and what is being implemented in the Public Service in general. The main focus is on the policy used in the Public Service. The last part deals with the research question and focuses on the Department of Correctional Services in particular in the previously demarcated region.

The Performance Management and Development System Policy was used to determine if there is any alignment between the general performance management, performance management in the Public Service and what is being implemented in the Department of Correctional Services. The findings show that there is no difference between the Performance Management and Development System being applied in the different areas. Several minor challenges were picked up, based on the findings of the internal audit on performance management, and relevant recommendations are provided. In general, based on the findings and percentage of compliance, the research shows that the Performance Management and Development System is being effectively implemented in the Limpopo region of the Department of Correctional Services.
Acknowledgements

First and foremost, I would like to thank the almighty God for giving me the strength to finish this work. It took a very long seven years and many times I wanted to give up but the still voice in me kept on encouraging me and telling me to carry on. I must indicate that it was not easy, but it has been worth it.

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I would also like to thank my former colleague, Ms Jane Moate, for all the assistance she gave me when I was doing this work. Without you it would not have been easy, thank
you for tolerating all my telephone calls and emails and for assisting me in collecting information I needed.

To all those who aspire to study further, let me tell you that if you put your mind to it, it is possible, you can achieve whatever you want to achieve. May the mercies and grace of God be upon you all forever. Thank you.

**List of abbreviations and acronyms**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AAP</td>
<td>Assessment Appeal Panel</td>
</tr>
<tr>
<td>DCS</td>
<td>Department of Correctional Services</td>
</tr>
<tr>
<td>DMC</td>
<td>Departmental Moderating Committee</td>
</tr>
<tr>
<td>DPSA</td>
<td>Department of Public Services and Administration</td>
</tr>
<tr>
<td>EPMDS</td>
<td>Employee Performance Management and Development System</td>
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<tr>
<td>GAF</td>
<td>General Assessment Factors</td>
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<td>HR</td>
<td>Human Resources</td>
</tr>
<tr>
<td>IRC</td>
<td>Intermediate Review Committee</td>
</tr>
<tr>
<td>KRA</td>
<td>Key Result Area</td>
</tr>
<tr>
<td>LMN</td>
<td>Limpopo, Mpumalanga and Northwest</td>
</tr>
<tr>
<td>OSD</td>
<td>Occupational Specific Dispensation</td>
</tr>
<tr>
<td>PA</td>
<td>Performance Agreement</td>
</tr>
<tr>
<td>PMDS</td>
<td>Performance Management and Development System</td>
</tr>
<tr>
<td>PSCBC</td>
<td>Public Services Co-ordinating Bargaining Council</td>
</tr>
<tr>
<td>SMS</td>
<td>Senior Management Services</td>
</tr>
<tr>
<td>TQM</td>
<td>Total Quality Management</td>
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CHAPTER 1
INTRODUCTION AND RESEARCH DESIGN

1.1 General introduction

Performance management ensures that the performance of all employees in the organisation is managed in a uniform way. There should therefore be a common means of managing performance that is known to all employees of the organisation. Employees in the organisation must know exactly what employer’s expectations are regarding performance. Performance management must cover a specific period of time, for example in government, normally from the beginning to the end of the financial year, that is, from the beginning of April to the end of March the following year. When performance management is in place it helps both the employer and employees to focus their energy on specific and definable targets.

Performance management benefits the department since the general performance can be improved because it can be measured. This also applies to the Department of Correctional Services in Limpopo region because if it is managed properly, the performance of the whole region can be improved. Although in the case of this research the organisation is owned by the government and is solely responsible for the management of all correctional facilities in general, the standards and performance in the correctional service are always measured against the two privately managed prisons (Kutama Sinthumule in Limpopo province and Mangaung in the Free State province) since these correctional facilities function very well. The Bill of Rights enshrined in the Constitution of the Republic of South Africa, 1996 chapter 2 compels the Department of Correctional Services to incarcerate inmates in a humane and safe environment.

The Department of Public Service and Administration, through the Public Service Regulations (2001:Part VIII B.1), indicates that an executing authority will determine a system for performance management and development for employees in the department other than employees who are members of the senior management services (SMS), consistent with the principles in regulation VIII B.1 as stated above. According to the
framework, the performance management system developed was to be implemented fully by all government departments with effect from 1 April 2001, taking into account the provisions of paragraph 4 of Annexure 1, which states that subject to collective agreements regarding the performance management and development system, any department which is ready to implement a new performance management and development system could do so between July 1999 and April 2001. The Department of Correctional Services developed its own performance management system in 2001 which was improved in 2008. This research was based on the current performance management development system (PMDS) which was re-developed in 2008 and is currently still in use in the Department of Correctional Services.

For the purpose of this research the definition by Armstrong and Stephens (2005:275-276) pertaining to performance management will be used. They state that performance management is a strategic and integrated process which delivers sustained success to organisations by improving the performance of the people who work in them and by developing the capabilities of individual contributors and teams. They also indicate further aims of performance management as to obtain better results from the organisation, teams, and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements.

1.2 Motivation for the research topic

This research was selected because of the important role that performance management plays in the Department of Correctional Services. Therefore an overview of the current PMDS that exists in the Department of Correctional Services in Limpopo region was investigated because the researcher is familiar with the region than the rest of other regions.

The performance management and development system document for the Department of Correctional Services was developed in 2008 with the purpose of improving the management of the performance of employees who are below director's level (salary
levels 2 to 12). This research focused on providing an overview of the implementation of PMDS by both managers and non-managers of the Department of Correctional Services in the Limpopo region.

The performance management audit report of 2012 was used extensively in this research since this report was important in revealing how effective the PMDS is or whether there are serious problems or challenges in implementing the PMDS in the Limpopo region. The researcher focused on giving a comprehensive overview of performance management that looked at all its aspects so that at the end of the research a complete picture of the process and all aspects involved was obtained.

1.3 Problem statement

Performance management is an integral part of the Department of Correctional Services and must therefore be implemented, used and managed properly. The Department of Correctional Services can only manage to fulfill its legal mandate of ensuring safe custody and development of inmates if its performance is geared towards the goal. This research considered the PMDS as it is currently being used in the Department of Correctional Services in the Limpopo region.

The research problem was formulated as follows: What does the current performance management development system in the Department of Correctional Services in the Limpopo region entail?

Secondary questions that arise from the above problem statement include:

1. What is performance management?
2. What is the purpose of performance management?
3. How did performance management develop and come into being?
4. What does the performance management system used by the South African government look like?
1.4 Research aim and objective

The main objective of this research is to understand the PMDS currently being used in the Department of Correctional Services in the Limpopo region. The unit of analysis for this research was the Department of Correctional Services in the Limpopo region. The points of focus were the role and function of performance management in general and the process of performance management specifically.

The research was aimed at exploring what performance management is. In so doing, the meaning of performance management as well as the development and origins of performance management was also looked at. Secondly, this research explained the purpose of the performance management system in the Department of Correctional Services by giving an overview of the performance management process currently being used in the Department. Thirdly, this research explained how performance management was implemented and is currently being used in the South African government. This research also made reference to legislation being used by the South African government to promote performance management.

Finally this research looked at the implementation of the PMDS in the Limpopo region. The findings of this research could benefit the Department of Correctional Services, specifically in the Limpopo region with regard to the effective implementation and use of the PMDS.

1.5 Conceptual analysis

The conceptual analysis provides a clarification of the key concepts in the problem statement and research objective, which are as follows.

1.5.1 Performance management system

According to Gambir (2006:433-434) a performance management system is "a system of information specification, monitoring, assessment, evaluation, and reporting of the
performance of individuals, programs, or agencies. To be useful, such a system should be integrated with corporate management so that appropriate action, if any, may be taken subsequent to a performance appraisal”. A performance management system has to be carefully managed as any perception of its weakness will serve to undermine confidence in it and will delimit its effectiveness for both employees and the organisation.

1.5.2 Performance management
According to Noe, Hollenbeck, Gerhart and Wright (2010:768) performance management can be described as the means through which managers ensure that employees’ activities and outputs are congruent with the organisational goal. According to Luecke (2006: ix), performance management is defined as “to measure and improve the effectiveness of people in the workplace”. Daniels and Daniels (2004:7) describe performance management as “a technology for creating a workplace that brings out the best in people while generating the highest value for the organisation” Walters (1995:3) defines performance management as the totality of the day-to-day work of managers.

1.5.3 Performance
Fox and Meyer (1995:94) describe performance as “the way in which planned action takes place or objectives are reached; operational behavior directly related to the organisation’s effectiveness: performance = ability + motivation”. Daniels and Daniels (2004:7) describe performance as “a unit that consists of a situation, behaviours, tasks, and results, which are combined to produce a specific accomplishment”. Smither and London (2009:586) define performance as “what the organisation hires one to do, and do well. Performance is not the consequences or result of action, it is the action itself”. For the purpose of this research, performance will be defined as what the employees are employed to do and how they do it.

1.5.4 Implementation
Fox and Meyer (1995:61) describe implementation as “action to put into operation policy or programmes, which result in the creation of links in the contingent chain to attain the objective envisaged”. Cloete (1995:38) describes implementation as “the carrying out of
a law, regulation, rule, command or other directive by officials working under direction of political office-bearers. Shafritz (1985:263) describes implementation as “a process of interaction between the setting of goals and actions geared to achieving them” as well as “an ability to forge subsequent links in the causal chain so as to obtain the desired results”. For the purpose of this research implementation will mean how the theoretical concept is put into practice.

1.5.5 Effectiveness

Fox and Meyer (1995:41) describe effectiveness as “a criterion according to which an alternative is recommended if it results in the achievement of a valued outcome”. In particular, it refers to a condition in which a focal organisation, using a finite amount of resources, is able to achieve stated objectives as measured by a given set of criteria, and the extent to which a programme is achieving or failing to achieve its stated objectives. Reaching effectiveness means in essence examining the links in the cause and effect chain that stretches from the status quo to the benefits, changes and impacts the programme's design intends. Effective organisations have the ability to anticipate change, to communicate this to the units concerned, to adapt activities and, at the same time, to anticipate and avoid mistakes, and to effect the necessary adaptations. Lockett (1992:51) describes effectiveness as “a comparison of outcomes against strategic objectives, in other words, does the organisation achieve what it set out to achieve?” Cloete (1995:27) describes effective/effectiveness as satisfactory output of goods or services to achieve set objectives. Shafritz (1985:166) describes effectiveness as the extent to which an organisation accomplishes some predetermined goal or objective; more recently, the overall performance of an organisation from the viewpoint of some constituency. Effectiveness is not entirely dependent on the efficiency of a programme because programme outputs may increase without necessarily increasing effectiveness.

1.5.6 Problem

According to the Concise Oxford Dictionary (2006:1143) a problem can be described as "an unwelcome or harmful matter needing to be dealt with and overcome. A thing that is difficult to achieve”. This is the definition that is going to be used for this research.
1.5.7 System
Fox and Meyer (1995:125) describe a system as “an organised or complex whole. The set of elements or parts that are interrelated and work together toward achieving common goals. The sum total of systems that are configured in a way that differentiates and separates them from other actions.” Cloete (1995:74) describes a system as a hierarchical structure of workplaces such as a state department, or a set of activities such as the system of activities to collect Inland Revenue. Shafritz (1985:522) describes a system as “any organised collection of parts that is united by prescribed interactions and designed for accomplishment of a specific goal or general purpose”. For the purpose of this research, definition by Shafritz will be used.

1.5.8 Development
Fox and Meyer (1995:36) describe development as “the process of improving the quality of all human lives”. Three equally important aspects of development are: raising people’s living levels, that is their income and consumption levels of food, medical services and education through “relevant” economic growth processes; creating conditions conducive to growth of people’s self-esteem through the establishment of social, political and economic systems and organisations which promote human dignity and respect; and increasing people’s freedom to choose by enlarging the range of choice variables, for example increasing varieties of consumer goods and services. According to Noe et al. (2010:87) development involves acquiring knowledge, skills, and behaviour that improve an employee’s ability to meet the challenges of a variety of existing jobs or jobs that do not yet exist. For the purpose of this research development will be described as the process of improvement as described above.

1.5.9 Province
According to the Oxford Dictionary (2006:1156) province is defined as “a principal administrative division of a country or empire. For the purpose of this research Limpopo province, Mpumalanga province and Northwest province are three provinces (LMN)
which are in the northern part; northwest and northeast of South Africa respectively, they are referred to herein as Limpopo region.

1.6 Preliminary literature review

The literature review included books, journals, newspapers and official documents. The research revealed information relevant to the Department of Correctional Services and to performance management but not specifically related to how PMDS is being used in the Department of Correctional Services in Limpopo region, which was looked at in this research.

The research is not in any way a duplication of any previous research that has been undertaken in this regard. The researcher reviewed different sources including published books, unpublished and published dissertations and theses, articles in journals as well as articles in different local newspapers, to get a clear understanding of performance management and the problems related to it. The researcher also looked at the policies within the Department of Correctional Services and the broader government of South Africa to complete this research.

1.7 Research methodology

Bearing in mind that the research objective is to understand the use and development of performance management in the Department of Correctional Services in the region, it was necessary to select an appropriate research design (either empirical or non-empirical) to conduct this research (Mouton, 2001:55).

1.7.1 Research design

According to Welman and Kruger (1999:7) there are two types of research designs, namely qualitative and quantitative research designs. The quantitative method is more concerned with laboratory studies whereas the qualitative focuses on people and other information sources such as files. As the unit of analysis for this research will focus on
the Department of Correctional Services in the region, the appropriate design for this research seems to be a qualitative design. The above research objective implies that the research focused on providing an overview of the role and function of performance management in general and the current use of performance management in the Department of Correctional Services in the Limpopo region specifically.

1.7.2 Units of observation

The research material used is scholarly literature. A literature survey of the relevant books and journal articles helped in providing insight into the various discourses on the purpose and function of performance management. According to Van der Ven and Scherer-Rath (2004:35) the normative approach consists of norms and guidelines that help in guiding an individual’s thoughts and actions. A normative approach is used to answer the question “What should be” for example “What should the performance management system in the Department of Correctional Services in the Limpopo region look like?”

Information about performance management was collected from official documents, for example, policy papers, acts, bills and government circulars. This research also relied on reading and analysing official documents, for example, previous years’ performance management moderation documents and policies. Accordingly, reading and analysing texts was used as the main method of this research.

1.7.3 Research methods

Bearing in mind that the units of observation for this research are predominantly written material, the method that was applied can be classified as content analysis. This involved obtaining the information from the literature relevant to the topic as well as relevant documents from the Department of Correctional Services. Due to the fact that the topic researched is well documented, it was important to compare the practice in the Department of Correctional Services against what is available in other literature. By analysing the different contents relevant to the topic, the researcher was able to take a well-informed position to make recommendation based on the information available.
1.8 Framework for this research project

The preliminary framework for this research project includes the following areas of information for the relevant chapters:

**Chapter 1** contains the general introduction to the research. It also provides the background and motivation for the study and all the other headings for the whole research.

**Chapter 2** focuses on what performance management is and how it has developed. This includes all stages of the process and how it is supposed to be implemented.

**Chapter 3** provides an overview of the use of performance management in the South African government and indicates why performance management is important for the government.

**Chapter 4** indicates how performance management is currently used in the Department of Correctional Services in the Region and also considered an overview of the implementation of PMDS within the Department of Correctional Services in Region.

**Chapter 5** contains the conclusions and findings of the research with regard to the performance management implementation in the Department of Correctional Services in the Limpopo region. Recommendations are also made with regards to the improvement of the PMDS in the Department of Correctional Services Limpopo region.
CHAPTER 2

A GENERAL OVERVIEW OF PERFORMANCE MANAGEMENT

2.1 Introduction

This chapter will focus on providing an overview of performance management in general. This overview will include explanations about the origin and meaning of performance management, as well as information about the purpose of performance management, the benefits of performance management and the different stages of performance management.

Performance management plays an important role in any organisation and can benefit an organisation in different ways by, for example, promoting increased performance. If performance management is implemented correctly, it can benefit the employer as well as the employees since their performance will always be recognised formally through a reliable process known nationally and internationally as the performance management system. According to Kearney and Berman (1999:304-306) there are several areas which need to be checked or taken care of before the appropriate performance management system or tool is determined, namely, validity/accuracy, understandability, time lines, potential for encouraging perverse behaviour, uniqueness, data collection cost, controllability and comprehensiveness.

This chapter therefore consists of a comprehensive literature study that relied on the reading and analysing of books and journal articles. A literature study was conducted to get a clear understanding of the origin, role and functions, purpose, benefits and different stages of performance management. The origin of performance management is looked at next.
2.2 The origin of performance management

Armstrong (2001:473) states in his background to performance management that performance management is a phrase first coined in the mid-seventies but which was not recognised as a distinctive approach until the mid-1980s, growing out of the realisation that a more continuous and integrated approach was needed to manage and reward performance. According to Williams (1998:1) performance management gained prominence in the late 1980s/early 1990s because it addressed problems which were identified from performance appraisal systems, for example, the lack of management commitment, the destruction of team work by performance appraisal, the measuring of objectives or standards which fostered mediocrity, the focus on short-term (local) rather than long-term (general) objectives and the decrease in self-esteem, increased fear, and reduced productivity and motivation caused by performance appraisal systems. Myland (1992:86) defines performance appraisal as a systematic means of ensuring managers and their staff meet regularly to discuss past and present performance issues, and to agree what future action is appropriate on both sides. Spangenberg (1994:14-15) indicates that performance management came about as a response to performance appraisal problems being experienced by total quality management (TQM) supporters. Examples of these problems are the same as those given above, namely, the destruction of team work by performance appraisal and the measuring of objectives or standards which fostered mediocrity. The Concise Oxford English dictionary (2006:1523) describes total quality management as a system of management based on the principle that every member of staff must be committed to maintaining high standards.

Pinnington and Edwards (2000:160) indicate that performance management systems grew in popularity during the 1980s because they were thought to facilitate rigorous specification of performance standards and measures, and increase the likelihood of achieving organisational goals at a time when organisations needed to respond to increasingly competitive business conditions. This was mainly done to deal with the performance challenges that they had at the time, for example, a lack of management
commitment to the system. Today, most organisations still make use of performance management systems.

Looking at the above information, it is clear that these authors indicate that performance management developed as a way of trying to address performance challenges that were being encountered at the time. Apart from the origin of performance management, the meaning of performance management will be looked at next.

### 2.3 The meaning of performance management

Performance management has since its inception in the 1980s and early 1990s been described and explained differently by various authors. Van Dooren, Bouckaert and Halligan (2010:30), for example, describe performance management as a type of management that incorporates and uses performance information for decision making. Poister (2003:12) describes performance management as the process of directing and controlling employees and work units in an organisation and motivating them to perform at higher levels. Noe et al (2010:351) describe performance management as the process through which managers ensure that employee's activities and outputs are congruent with the organisation's goals. Performance management is central to gaining a competitive advantage, for example, it may cause the performance in the organisation to improve, which will give an organisation an edge over its competitors in terms of performance.

Gilley et al (2002:11) describe performance management as “a process of obtaining regular employee feedback, tracking actual performance along the measurement dimensions established in the goals, feeding back performance information to relevant subsystems, taking corrective action if performance is off target and resetting goals so that the organisation is continually adapting to external and internal reality”. The external and internal reality that Gilley et al refers to includes increased productivity which is internal and the ability to withstand competition from other competitors which is an external reality. Heery and Noon (2001:265) describe performance management as the process of linking the overall business objectives of the organisation with departmental
objectives, team objectives, and individual objectives. It involves setting targets, constantly reviewing progress towards those targets, and taking remedial action where there are training/developmental shortfalls. Sutherland and Canwell (2004:211) agree with Heery and Noon (2001:265) and describe performance management as a systematic and data-oriented approach to managing employees based on positive reinforcement as the primary driver to maximise their performance. Performance management assumes that there will be a disparity between what employees are currently achieving (on the basis that they have to work and perform to a standard) and the possibility that they desire to perform better (based on the assumption that they have desires to perform more effectively if given the opportunity and encouragement).

Plachy (1988:1) describes performance management as communication: a manager and an employee together arrive at an understanding of what work is to be accomplished, how it will be accomplished, how work is progressing toward the desired results, and finally, after effort is expended to accomplish the work, whether after performance the agreed-upon plan has been achieved. Therefore it can be concluded that performance management involves the supervisor and the supervisee. Silverstein (2007:4) builds on what Plachy (1988:1) wrote by stating that performance management is "a process-oriented approach to evaluating and supporting employees. Ideally, performance management takes place from the moment the employee is hired to fill a position at an organisation to the moment the individual leaves. Lastly, Armstrong and Stephens (2005:275-277) define performance management as strategic and integrated processes which deliver sustained success to organisations by improving the performance of the people who work in them and developing the capabilities of individual contributors and teams. On evaluating these definitions from different authors, it can be seen that they place emphasis on a number of different aspects related to performance management. For the purpose of this research, performance management will be defined as the process of ensuring that performance standards are set between the supervisor and the supervisee and that performance is measured against these standards on a regular basis for the duration of the performance period with the objective of improving performance. After
discussing the meaning of performance management, the purpose of performance management is looked at next.

2.4 The purpose of performance management

Since the meaning of performance management is focused on measuring performance to improve it, Armstrong and Stephens (2005:275-278) state that the purpose of performance management is to obtain better results from the organisation, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements. According to Noe et al (1994:237-238), the purpose of performance management is divided into three categories, namely, strategic, administrative and developmental purposes that will be explained next.

2.4.1 Strategic purpose

A performance management system must link employees’ activities with organisational goals. It will be very difficult for an organisation to achieve its goals if the performance of its employees is not aligned accordingly. If the strategic goals of the organisation are known and are also reflected in the employees’ performance agreement, a great deal can be achieved for the organisation. The proper implementation of performance management systems assist in ensuring that the strategic objectives of the organisation are achieved.

2.4.2 Administrative purpose

Information on performance management can also be used in administration-related matters or decisions, for example, pay raises, performance bonuses or recognition of individual performance, promotions, retention and terminations and retrenchments. Although this purpose is of vital importance, it is very difficult to get accurate information regarding performance management if managers are not prepared to comply with the performance management system policy of the organisation because this may lead to having the wrong information regarding performance in the organisation. Therefore it is important to make sure that management complies with and completes performance management documents.
2.4.3 Developmental purpose

Developmental purposes help to ensure that the causes of poor performance are identified during the performance management processes whereafter training interventions can be implemented if the performance gap is caused by a lack of training. Training can, for example, assist in developing certain skills, for example, the ability to utilise a computer or machine, lack of which causes poor performance. If these performance gaps are identified but no intervention is implemented, the purpose of identifying these poor performance gaps is defeated. Once these gaps are identified, there must be some intervention to address them, for example, additional training.

Apart from the strategic, administrative and developmental purposes Cascio (2003:334-335) states that there are five purposes for performance appraisal:

- **Firstly**, the justification of employment decisions, for example, to develop marginal or low performers, to train, transfer, or discipline staff, to justify merit increases (or no increase), or even to reduce the size of the workforce.

- **Secondly**, to validate being tested which includes correlating test results with appraisal results to evaluate the hypothesis that test scores provide job performance feedback to employees. However, if appraisals are not done carefully, or if considerations other than performance influence appraisal results, the appraisal cannot be used legitimately for any purpose.

- **Thirdly**, performance appraisals provide feedback to employees and thereby serve as vehicles for personal and career development.

- **Fourthly**, they can also help to identify developmental needs of employees and to establish objectives for training programmes. This will assist in ensuring that all training needs are being taken care of, which will assist the organisation to grow.

- **Fifthly**, performance appraisal can help to diagnose organisational problems by identifying training needs and personal characteristics to consider in recruiting new staff. They also provide a basis for distinguishing between effective and ineffective performers.
Although Cascio gives five purposes for performance management as compared to Noe et al (1994:237-238) who give only three, it can be seen that they agree on certain aspects related to performance management. For example, performance management can assist management to take decisions on the direction that the organisation should take, as well as to identify low performers, to train, transfer, or discipline staff, to justify salary increases (or no increase), and as a basis for reducing the size of the workforce. In addition to the purpose of performance management as outlined by Cascio and Noe et al above, the benefits of performance management are looked at and explained next.

2.5 Benefits of performance management

According to Plachy (1988:206), the benefits of performance management can include performance-based pay, pay increases and performance incentive rewards. Spangenberg (1994:208-232) classifies rewards in two different categories: individual and group performance rewards. With individual rewards there is merit pay and competence-based pay. Under group and organisational performance there is gain sharing, profit sharing and employee share ownership. As shown by the two authors above, there are quite a number of options that can be used as far as performance benefits are concerned. Organisations can choose what is suitable for them in terms of ensuring that the intended goals are achieved. It is true that if performance is not measured, it will be difficult, if not impossible, to implement the benefits referred to above. Apart from the rewards related to performance management, Murphy and Cleveland (1995:326-338) and Hackett (1996:103-106) state that there are a number of advantages and disadvantages associated with the performance management system. They categorise the advantages and disadvantages as follows:

2.5.1 Advantages of performance management

The advantages of making use of performance management, according to Hackett (1996:103-106) can include the following:
• Performance management can increase the quality of organisational decisions based on performance management results. An organisation can, for example, make decisions such as promoting someone based on good performance.

• Performance management increases the quality of individual decisions, for example, when people know that their performance is being measured, they can increase their efforts when doing their work.

• Performance management can enhance the relationship between the organisation and its members by clearly indicating what is expected of each individual in the organisation.

• Performance management can provide a foundation for organisational diagnosis and change by indicating what aspects within the organisation need attention and are not functioning properly. Performance management identifies key skills, the skills which are basic and important for the organisation to achieve its strategic goals.

• Performance management helps to identify training needs, which will assist the organisation to offer training focused on specific skills gaps.

• Performance management can improve the current performance in an organisation as individual employees can be motivated to be more productive.

• Performance management can improve communication as regular communication between the supervisor and supervisee makes it easy for the communication to take place and this can enhance productivity.

• Performance management enhances commitment. Employees become more committed because they realise that their performance is being recognised.

• Potential can be identified. It is easy to identify those employees who can be developed to do more and better work for the organisation.

• Performance management can assist in ensuring that disciplinary documentation is available if the person is to be disciplined for poor performance. Because performance is always recorded, information is always accessible.

• Performance management can also assist in determining the salary of a person where salary is linked to performance. This will address any disputes because the basis of the decision will be available on record. According to Hackett (1996: 103-106), the
above mentioned are the advantages of performance management. They show that performance management can assist in achieving goals.

2.5.2 Disadvantages of performance management

According to Hackett (1996:103-106) there are also disadvantages that need to be managed when performance management is being implemented:

- Performance management overemphasises the individual and underemphasises the team.
- Performance appraisal systems can send mixed messages, for example, people might tend to focus more on their own performance rather than looking at the team or organisation’s performance.
- Performance management creates administrative problems, as in order to implement it, money needs to be spent, especially if it is to be implemented correctly.
- Implementation problems can arise once the system is being used. Chances are that the system might not be used for what it was intended, for example, it might be used as the basis for retrenching those who are not performing.
- Assessment problems such as bias, the halo effect (the tendency for an impression created in one area to influence opinion in another area), stereotyping and overemphasis of negative information can also influence the process if it is not monitored correctly.

Apart from the rewards related to performance management Murphy and Cleveland (1995:326-338) also confirm that there are advantages and disadvantages associated with a performance management system. Although performance management has advantages and disadvantages, it is still used by many organisations and governments to evaluate the performance of employees. However, before it is possible to determine the advantages and disadvantages, performance management must first be implemented. The implementation of performance management will be looked at next.
Implementing performance management is not an easy process. According to Kearney and Berman (1999:304-306) there are several areas which need to be checked or taken care of before the appropriate performance management system or tool is determined, namely, validity/accuracy, understandability, time lines, potential for encouraging perverse behaviour, uniqueness, data collection costs, controllability and comprehensiveness. A number of steps have to be taken to implement a performance management system in an organisation that does not have such a system in place. A number of aspects need to be considered before a performance management system can be put in place. According to Spangenberg (1994:40-43) there are six steps that should be focused on when implementing performance management:

- **Step 1: Strategy** – In order to ensure that performance management achieves what it is intended to achieve, it is important that a strategy be put in place to attain the goals of the organisation. It is even better if the strategy of the organisation is planned for the long term, for example, for the following 5 to 10 years.

- **Step 2: Leadership** – Besides ensuring that the organisation has a clear strategy in place, there is also a need to ensure that there is strong top leadership in the organisation. Strong leadership will assist in ensuring that the performance management system is producing results because it will ensure that leaders within the organisation serve as positive role models for the organisation.

- **Step 3: Culture** – It is important to ensure that before any performance management system is put in place, the issue of culture be taken into consideration. Both people and process-based systems will fail if they are incompatible with the organisation’s culture or if they are not an integral part of a planned programme of culture change. It is therefore very important to ensure that performance management system in the organisation is compatible with the culture before it is introduced.

- **Step 4: Management** – It is important to ensure that all management levels understand the process before it is introduced. Management can assist in determining whether the new system will be a failure or a success. Once there is buy-in or
understanding of the new performance management system by management, it will be easy to convince the rest of the organisation.

- **Step 5: Employees** – For the performance management system to work, it must be implemented by all staff members; employees always outnumber managers in any organisation. When dealing with employees, it is also important to ensure that they understand performance management and that their literacy levels are at the level where they are able to understand the whole process. Without employees understanding the whole performance management system, it can fail because its success is solely dependent on employees understanding and accepting it.

- **Step 6: Trade union buy-in** – Last but not least of what must be done before a new performance management system is introduced, is to ensure that there is buy-in of the system by the trade unions. Unfortunately, if there is no-buy in from the unions the whole system will fail because trade unions have the potential to influence employees negatively if they do not support the idea. The researcher agrees with Spangenberg that if these six areas are not given the attention they deserve, the whole PMDS can fail.

Looking at the above areas, it is very important to ensure that all these steps are considered before any performance management process is introduced in an organisation. Failure to pay attention to the steps highlighted above might lead to failure of a newly implemented performance management system. The appraisal methods that forms part of the performance management system will be explained next.

### 2.7 Performance appraisal methods

Performance appraisal can be explained as the method of measuring performance at regular times for a specific period of time. Robbins (1997:289-291) states that the following methods should be considered when performance appraisal is carried out:
2.7.1 Written essays
This is probably the simplest method of appraisal. It consists of writing a narrative description of employees' strengths, weaknesses, past performance, potential and suggestions for improvement. The written essay requires no complex forms or extensive training to complete.

2.7.2 Critical incidents
Critical incidents focus the appraiser's attention on those behaviours that are key in making the difference between executing a job effectively or ineffectively. With this method, the appraiser writes down anecdotes that describe what the employee did that was especially effective or ineffective.

2.7.3 Graphic rating scales
One of the oldest and most popular methods of appraisal is the use of graphic rating scales. In this method a set of performance factors, such as quantity and quality of work, attendance, depth of knowledge, cooperation, loyalty, honesty and initiative are listed.

2.7.4 Behaviourally anchored rating scales
Bars in the graph combine major elements from the critical incident and graphic rating scale approaches: the appraiser rates the employees on items along a continuum, but the points are examples of actual behaviour on the given job rather than a general description of traits.

2.7.5 Multiple person comparisons
Multiple person comparisons evaluate an individual's performance against the performance of one or more others. It is a relative rather than an absolute measuring device. The three most popular comparisons are group order ranking, individual ranking (when an individual's performance is measured alone), and paired comparisons (when more than one employee/groups are compared).
Wade and Ricardo (2001:147-149) indicate that performance appraisal is neglected and it is normally a stand-alone process which is not linked to anything (strategy or business plan). People responsible for it are normally not interested in doing it; they also do not understand its purpose and importance. It is therefore important to ensure that performance appraisal is done correctly.

The information given above shows that there are different options that can be used to implement performance appraisal. It is always important to ensure that the option that an organisation chooses should be able to achieve the goal for which it is intended. This is not a one-size-fits-all process, and an organisation should use the implementation method that best suit it. Following hereunder, the cycle of performance management will be discussed.

2.8 Cycle of performance management

There are different stages in performance management cycle and how they are implemented differs from organisation to organisation. According to Armstrong (1999:439-450) a performance management system can follow a cycle which includes the following.

2.8.1 Role definition

During this stage of the cycle, the whole framework of performance management is set out. Issues such as the purpose of the role of performance management, the key result areas or principal accountabilities and the key competencies that indicate what the role holder has to be able to do and the behaviour required to perform the role effectively are explained. After this stage the employee and the supervisor will be in a position where they understand each other and their roles because they will know exactly what is expected of each other.
2.8.2 Performance agreement

According to Armstrong (1999:439-450), during this stage the supervisee and the supervisor sign the performance agreement. This will be made easy by the fact that both will understand their roles by now. Elements that will be given attention under this stage include the following:

- Objectives and standards of performance – the results to be achieved are defined in terms of targets and standards.
- Performance measure and indicators – the extent to which objectives and standards of performance have been achieved is assessed.
- Competency assessment – how the level of competency will be assessed, including a discussion to clarify expectations by reference to the competence profile in the role definition and agreements on the sort of evidence that will be useful in assessing competency, is defined.
- Core values or operational requirements – the performance agreement may also refer to the core development which individuals are expected to uphold in carrying out their work. Certain general operational requirements may also be specified in areas such as health and safety, budgetary control, cost reduction and security.

2.8.3 Personal development planning

Performance personal development planning is one of the most important parts of a performance management development system. All performance gaps identified during performance are addressed during this stage. Some of the salient features of personal development planning are:

- In the performance development stage supervisor and supervisee agree on the plan which sets out the actions employees intend to take to develop themselves in order to extend their knowledge and skills, increase their levels of competence and improve their performance in specified areas.
- According to the Department of Correctional Services’ performance and career management policy (1998:17), personal development plans will be drawn up by the
supervisor and the supervisee, focusing on the developmental areas as identified by the two parties. This is very important because the improvement of performance is dependent on this intervention.

2.8.4 Performance
According to Armstrong (1999:439-450), performance should be managed throughout the year. In this stage, action is taken to implement the performance agreement and personal development plan as individuals carry on with their day-to-day work and their planned learning activities. This stage also includes a continuous process of providing feedback on performance, conducting informal progress reviews, updating objectives and, where necessary, dealing with performance problems and counseling.

2.8.5 Performance review
This is the last stage of the cycle; it is the formal evaluation stage when a review of performance over a period takes place, covering achievements, progress and problems as the basis for a revised performance agreement and personal development plan. It can also lead to performance ratings.

The process of performance management as explained above can also be illustrated by the figure 2.1 hereunder. The circle represents the cycle with the arrows moving clock wise indicating where the cycle starts (with role definition) and also the activities in sequence up to performance review.
Looking at figure 2.1 and information on performance management it can be seen that a performance agreement, performance development planning, and performance review are important aspects. When comparing this information with what Swan (1991:46-50) states as relevant to performance management hereunder, it indicates that although the information is presented differently, the process of performance management is the same. Swan (1991:46-50) further provides the following eight steps for performance management:

- The performance plan and development plan must be agreed on by the manager and employee.
- On-going feedback, coaching, counseling, and documentation are maintained for the following year.
- As the time of appraisal approaches and prior to writing the performance appraisal, the manager should encourage employees to do self-evaluation.
- Managers should meet with their employees to discuss employees' self-evaluation.
• Managers should complete the "report card" portion of the performance appraisal form so that general information or overview about performance can also be reflected on the card.
• Managers must preview appraisal with their own managers or human resources department.
• Managers should schedule appraisal meetings with employees.
• A manager must conduct appraisal discussions.

The process of performance management always starts with the development of a performance agreement because this document or agreement outlines what the employee is expected to do and gives the time frames within which these activities are supposed to be finalised. This foundation becomes the most important aspect of the whole performance management system. The last stage as highlighted above by the author is the performance review or appraisal. Once this stage is completed, the whole process starts afresh because all the steps form part of a cycle of repetitive events.

2.9 Conclusion

This chapter provided an overview of performance management, its meaning, its benefits and the stages involved. It also indicated that performance management is an important tool that can be used in any organisation. If performance management is properly managed, it can benefit both the organisation and employees.

The views of different authors on the subject of performance management were considered and evaluated. The purpose of performance management was also explained. For the purpose of this research, the purpose of performance management can be seen as the system that is implemented to ensure that the performance of individuals in the organisation is managed so that the goals of the organisation can be achieved. The different stages of a performance management system were also explained in this chapter. The different stages or cycles of performance management were identified and discussed. Each step in the performance management cycle is important as is their interdependence.
This chapter highlighted the fact that performance management is a crucial process in any organisation and for it to reap the benefit of the process performance management must be implemented correctly.

The next chapter will provide an overview on the use of performance management in the South African public service. It will also indicate why performance management is important for the South African government and provide an overview of the Performance Management and Development System for the Public Service as developed by the Department of Public Service and Administration.
CHAPTER 3

OVERVIEW OF PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN THE SOUTH AFRICAN PUBLIC SERVICE

3.1 Introduction

The previous chapter, Chapter 2, provided an overview of performance management in general which included amongst others an explanation of the origin and meaning of performance management, as well as information about the purpose of performance management, its benefits and different stages. This chapter will focus on the overview of Performance Management and Development System in the South African Public Service.

The Public Service Act no 38 of 1994 as amended makes provision for the implementation of a Performance Management and Development System for the Public Service. This Act allows departments to develop their own Performance Management and Development System (PMDS) to suit their own needs and environment. However, this is only relevant to government employees from post levels 2 to 12. As there was no uniformity on how the PMDS was implemented in the public service in general, the Department of Public Service and Administration drafted a framework to be adopted by all national departments and provincial governments. This chapter will focus on the above-mentioned PMDS framework which was introduced in 2007 to serve as a guideline so that when government departments develop their own performance management system, they are sure to align it with that of the Department of Public Service and Administration.

This chapter consists of reading and analysing of the PMDS framework from the Department of Public Service and Administration (DPSA). This chapter focuses specifically on the PMDS that is currently being used in the Public Service. It explains the scope of application of the PMDS in the public service, the aims of the PMDS in the public service, the performance cycle, performance planning and agreement, performance...
moderation, the outcome of performance assessment and recognition and system evaluation & review). First the scope of application of the PMDS in the public service will be looked at.

3.2 Scope of application of Performance Management and Development System Framework in the Department of Public Service and Administration

As mentioned in the introduction, the framework for the PMDS in the public service was developed by the DPSA is only applicable to employees who are at post levels 2 to 12. This framework was decided on by the Minister of Public Service and Administration and was developed in an attempt to improve the performance management system in the public service. This framework was introduced in 2007 for implementation by all departments in the South African Public Service, and is similar to and must be linked with the Senior Management Services PMDS. It is a distinct policy framework and system and is not applicable to departmental components or teams but only to individual performance assessment. According to the Employee Performance Management and Development System (EPMDS) framework (2007:8) this framework also encourages the utilisation of one standardised PMDS for all government departments. Utilisation of more than one system can cause confusion and disparities in government departments and with employees.

As previously stated, this chapter and this research will therefore only focus on the performance management system for employees from salary level 2 to salary level 12 (these are the employees at lower levels from production to supervisory or middle management). The objectives of performance management in the public services will be dealt with hereunder.
3.3 Objectives of Performance Management and Development System in the Public Service

This section will focus specifically on the main objectives of the Performance Management and Development System in the Public Service. These objectives include a number of different aspects that the PMDS framework seeks to achieve. Hereunder these aspects will be discussed in detail.

3.3.1 Goal of the Performance Management and Development System
According to the EPMDS framework (2007: 10) the goal of the framework in public service performance management is aimed at planning, managing and improving employee performance. The goal of performance management is to optimise every government employee's output in terms of quality and quantity, thereby improving the Department or public service's overall performance and service delivery.

According to the EPMDS framework (2007:10) the introduction of a performance management system in the public service was done to improve the performance of all public servants. If performance management is implemented correctly in the public service, performance should improve. The next aspect will focus specifically on the objectives of performance management in the public service.

3.3.2 Objectives of Performance Management and Development System
In order to achieve individual excellence and achievement, it is important to ensure that the objectives of performance management are clearly stipulated so that it is easy to attain or achieve them. According to the EPMDS framework (2007:10) the objectives for the Department of Public Service and Administration performance management system are to:

- establish a performance and learning culture in the public service, ensuring that everyone in the public service is aware of what must be achieved;
- improve service delivery: public servants must be aware of the importance of improving service delivery;
• ensure that all job holders know and understand what is expected of them: if all public employees are aware of what is expected of them, they might be motivated and ensure that they always perform well and do what is expected;
• promote interaction on performance between job holders and their supervisors: the success of performance management depends solely on the good working relationship between the supervisor and the supervisee;
• identify, manage and promote job holder’s development needs: if the developmental needs of employees are not addressed, performance might not improve;
• evaluate performance, fairness and objectivity: when it is time to evaluate performance, it must be done fairly and objectively. During the review, the supervisor cannot introduce anything new that had not been addressed before;
• recognise categories of performance that are fully effective and have improved: those who perform well should be duly recognised, and
• manage categories of performance that are not fully effective: this category of employees who are not performing well needs to be attended to as well.

Looking at the above objectives, it can be seen that if they are kept in mind when managing performance, intended results can be attained. This section covered the objectives of performance management; the next aspect that will be looked at is the principles involved in performance management.

3.3.3 Principles of Performance Management and Development System
The key principles underpinning effective performance management are outlined in the Public Service Regulations (2001:38) as amended. These principles include the following:
• Departments are expected to manage performance in a consultative, supportive and non-discriminatory manner to enhance organisational efficiency and effectiveness, accountability for the use of resources and the achievement of results. This is to ensure that when performance management is implemented, it must be done in a way that will not defeat its purpose.
• Performance management processes should link to broad and consistent staff
development plans and align with the department’s strategic goals. If performance
management does not support the strategic objectives of the organisation, it will not
add any value to the organisation.

• Performance management processes should be developmental but should allow for
recognising fully effective and outstanding performance, and for an effective
response to consistent inadequate performance. When those employees who perform
well are recognised, attention should also be given to underperformers so that their
performance can be improved.

• Performance management procedures should minimise the administrative burden on
supervisors while maintaining transparency and administrative justice. Performance
management systems must not be seen as a paper exercise or administration burden
to the supervisors but as something adding value to government departments.

It is therefore beneficial for every government department to ensure that the above
principles are adhered to at all times. Complying with these principles will assist the
departments in ensuring that the objectives of performance management are achieved. In
cases where the principles are not adhered to, performance management and development
systems might not be implemented correctly and effectively.

3.4 Performance cycle in the public service

Performance management at employee level is an ongoing interactive process between an
employee and his/her supervisor about the employee’s performance. Face-to-face
ongoing communication is an essential requirement of the process and covers the full
performance cycle. For effectiveness of operation, the performance cycle in the public
service is divided into integrated phases or elements:

• Performance planning and agreement: at the beginning of the assessment year.
• Performance monitoring, developing and control: during the assessment year.
• Performance assessment or appraisal: during the end of the assessment year.
• Managing the outcome of the assessment: after the final assessment.

According to the EPMDS framework (2007:11) performance assessment is very important because interventions are put in place for those who under-perform and recognition is given to those who perform well. The phases or elements of the performance cycle used in the public service will be dealt with in detail later in this chapter.

According to the EPMDS framework (2007:23) the assessment cycle is a 12 months period for which performance is planned, executed and assessed. It must be aligned to the same period as the department’s annual business plan which is from 1 April to 31 March of the following year. The 12 month cycle is also linked to the financial year for the purpose of planning, pay progression and other performance-related incentives such as performance awards or cash bonuses. Next, all of the above-mentioned cycle will be explained in detail.

3.4.1 Performance planning and agreement
According to the EPMDS framework (2007:11) there are five relevant parts under this topic related to performance planning and agreement. All of these will be looked at in detail hereunder. The information relevant to performance planning and agreement is specific to the public service EPMDS framework as determined by the Department of Public Service and Administration.

3.4.1.1 The performance agreement
A performance agreement is the cornerstone of performance management at the individual level. All government employees must enter into and sign performance agreements at the beginning of the first quarter of a new cycle which, as mentioned above, is in April. The content of a performance agreement can include the following aspects:
- Employee data: this will include the employee's information such as employee number, job title, job level, key result areas, main objectives and job purpose.

- A work plan: this will contain key result areas, output, activities and resource requirements such as different resources that the employee will need to do the job, for example, if certain projects will need additional staff or purchasing of additional resources such as computer programs. These are the resources which are crucial for the employee to do the job.

- A personal development plan: this will identify developmental areas and needs of the employee as well as methods to improve these areas.

According to Bruce and Pepitone (1999:41-42), when developing a performance agreement, the set standards and the scope of responsibility must be clear. It is therefore important to ensure that when developing a performance agreement, attention is given to the standards as well as the scope of responsibility. If these two areas are not clear, it will be difficult to measure performance. Armstrong (2001:477) indicates that there are factors that must be covered in the performance agreement and these are:

- Objectives and standards of performance: results to be achieved must be clearly defined and understood by both supervisor and supervisee.

- Performance measures and indicators: what is to be achieved. This will include activities that must be achieved over an agreed period of time. A performance review must be done during the agreed measuring time determined during the beginning of the assessment period.

- Competency assessment: this covers the different levels of competency being assessed, for example the levels of competencies required for the employee to do the work. If the person is expected to use a computer but does not have computer skills or is computer illiterate, this person will not be productive. Competency gaps can be identified and then addressed by training the person.

- Core values or operational requirements: these are the most important values to be achieved. The agreement must highlight all important aspects to be achieved.
A performance agreement is the foundation or basic aspect of performance management. Measurement of whether the set goals were achieved will always be based on the individual’s performance agreement; hence it is of vital importance. The next section will deal with the work plan. According to the EPMDS framework (2007:12), the work plan is always agreed on based on the performance agreement. This document will break down what is contained in the performance agreement into smaller aspects.

3.4.1.2 The work plan

While the performance agreement is the cornerstone of performance management at the individual level, the work plan contains the essence with regard to the performance of the agreement. Two key areas are the result area and generic assessment factors. Job knowledge, technical skills, acceptance of responsibility, quality of work and reliability must be contained in the work plan. According to the EPMDS framework (2007:12) key result areas play an important role in specifying different areas of performance and can cover aspects such as:

- Specific tasks or events which the employee should ensure are achieved, for example training 100 people during the assessment year.
- Levels of performance which the employees should maintain and promote.
- Actions or situations for which the employee is personally responsible for delivering his/her “unique contribution”.
- Duties and responsibilities related to advice and support given, for example, by a subject matter specialists or a person who is more knowledgeable on the matter to the public or fellow public servants.

There are other factors apart from job specific areas that also need to be measured, namely, generic assessment factors which are either more generic or are expected from all employees. These include factors such as job knowledge, acceptance of responsibilities, quality of work, reliability, initiative, communication, interpersonal relationships, flexibility, team work planning and execution, leadership, delegation and empowerment.
According to the EPMDS framework (2007:12) performance standards can be described as the specific standards that must be achieved by the employee during the performance period. It is important to ensure that both supervisor and subordinate understand and agree on these performance standards.

According to Schneier, Beatty and Baird (1997:76) the process of developing performance standards involves four steps:

- Identifying tasks performed by the employee.
- Grouping related tasks into required elements.
- Designing required elements critical to overall successful performance in the job as critical elements.
- Developing performance standards for each task.

Like the performance agreement, a work plan is also very important since it brings the performance agreement closer to what is supposed to be done. A performance agreement is the document that the employee will always refer to, to ensure that he/she is performing according to what is expected. The next section will deal with the personal development plan.

### 3.4.1.3 Personal development plan according to Public Service Employee Performance Management and Development System framework

According to the EPMDS framework (2007:13) a personal development plan is put in place in order to address the performance gaps or developmental areas identified during the performance year. All identified developmental gaps can be addressed through interventions such as appropriate training, on the job training, expanded job exposure and job rotation. Interventions can be employed based on their relevance. Sometimes training is not sufficient to address the problem but other interventions such as job rotation can make a difference.
Looking at the above information, it shows that having a personal development plan is important, since it will assist in ensuring that all interventions are focused on specific developmental areas. The following section will deal with prolonged absence and staff movement in the public service.

3.4.1.4 Prolonged absence and staff movement

According to the Concise Oxford English dictionary (2006:5) absence is described as an occasion or period of being away from a place. For the purpose of this research, absence will be described as a period by which an employee is away from work. It is important to consider absence because performance can only take place when employees are at work. It is therefore important to deal with absence so that a proper plan can be put in place to address it accordingly.

- **Absence during the performance cycle**: if an employee is on leave of any kind for prolonged periods it will ultimately affect the performance agreement. Although the person cannot be penalised for any approved leave, it is obvious that such a person cannot perform like a person who was working all along while the other person was on leave. According to the EPMDS framework (2007:13) in the case of other forms of absence for a continuous prolonged period of time, supervisors and supervisees should have a discussion to reach mutual agreement on the ability to execute a meaningful rating for that period or for an annual assessment.

- **Acting in higher positions**: if the person acts in a higher post for a shorter period, there is no need to amend the work plan but if the person acts for a longer period, for example more than six weeks, there is a need to amend the work plan and that person must be measured against the amended work plan.

- **Staff movement**: according to the EPMDS framework (2007:14) if the person is transferred within the organisation but is still going to do the same job although under a different supervisor, there might be no need to change the work plan but if the person is going to work in a totally different environment, it is of vital importance to change the work plan to ensure that the performance of the employee is constantly measured.
All three of the above instances need to be attended to in order to ensure that PMDS is implemented in a proper and effective way in the public service.

### 3.4.1.5 Amendments to the performance agreement

Performance in the public service takes place in a dynamic environment. According to the EPMDS framework (2007:15) performance agreements can therefore never be cast in stone. Even though the initial performance agreement is signed at the start of the performance cycle, significant changes and additions must be made on an ongoing basis and be reflected in the performance agreement and work plan. The performance agreement and work plan against which an employee is assessed at the end of the cycle must accurately reflect the employee's actual activities and outputs during the entire performance cycle. Amendments must be made to the performance agreement and work plan and these must be signed and dated by both the employee and her/his supervisor.

### 3.5 Performance monitoring, rating and assessment

According to the EPMDS framework (2007:15) after the performance agreement is signed and the performance plan drafted, the performance of employees needs to be monitored and reviewed until the final assessment is done. It is therefore important to ensure that it is implemented correctly and that there are proper control measures in place.

#### 3.5.1 Performance monitoring

According to the EPMDS framework (2007:15) performance at the individual level must be continuously monitored to enable the identification of performance barriers and changes and to address development and improvement needs as they arise, as well as to:

- determine progress and/or identify obstacles in achieving objectives and targets;
- enable supervisors and jobholders to deal with performance-related problems;
- identify and provide the support needed for performance;
- modify objectives and targets and to
• ensure continuous learning and development.
Performance monitoring is therefore important because if the performance agreement is signed but performance is not monitored on a regular basis, the objectives may not be achieved at the end of the year or assessment period.

3.5.2 Categories of performance and rating scale
The EPMDS framework (2007:15) utilises a five-point rating scale. This means that a person will be assessed or rated with between one and five during the assessment. The rating scale works as follows:
- 1 – Unacceptable performance;
- 2 – Performance not fully effective;
- 3 – Performance fully effective;
- 4 – Performance significantly above expectations; and
- 5 – Outstanding performance.

According to the EPMDS framework (2007:15) the rating scale can also assist in explaining the five categories of performance that are used for the purpose of performance rating, review and the annual assessment of employees as can be seen in the table 3.1 below:

**Table 3.1: Rating category description**

<table>
<thead>
<tr>
<th>(1) Unacceptable performance</th>
<th>This will include performance which is not up to the required standard.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(2) Performance not fully effective</td>
<td>This means that the employee’s performance is not yet at the required standard.</td>
</tr>
<tr>
<td>(3) Performance fully effective</td>
<td>This will indicate that the employee’s performance fully meets the standard required, and has achieved effective results against all performance criteria.</td>
</tr>
<tr>
<td>(4) Performance significantly above expectations</td>
<td>This indicates that performance is significantly higher than the standard expected in the job.</td>
</tr>
<tr>
<td>(5) Outstanding performances</td>
<td>This means performance far exceeds the standard expected of a job holder at this level.</td>
</tr>
</tbody>
</table>

Source: Adapted from the EPMDS framework (2007:15)
From the above it can be seen that these rating categories, if linked to scores or to percentages, should be able to determine the performance of employees correctly. A “3” on the scale will mean that the employee is “fully effective”. In terms of the new approach to performance rating, an employee who is rated as “fully effective” has fully complied with the requirements of the job. On the rating scale this translates to a score of 100% because the person would have done what was expected of him or her. According to the EPMDS framework (2007:15) by knowing how their performance is rated, employees may be motivated to either improve their performance or to maintain it. This in turn will mean that the performance of the whole organisation can be improved. Following this performance rating discussion, performance review and assessment will be looked at next.

3.5.3 Performance review

According to the EPMDS framework (2007:16) performance review meetings are an integral part of the monitoring process. These reviews must take place as often as it is practical and/or required by circumstances. The reviews are necessary to motivate and reveal to the employee areas that need improvement and, if required, to modify the performance agreement. The supervisor should use all opportunities to discuss the supervisee’s performance, including component meetings, report backs and informal discussions.

The performance review also assists in ensuring that where there are problems regarding performance, they are identified before it is too late. It is important for both the supervisor and the supervisee to do this. According to Kermally (1997: 83) performance appraisal should not be seen as regular corporate rituals that everyone has to go through but as a pleasant, useful and meaningful experience to look forward to. Armstrong (2001:486-487) indicates five aspects to be considered during the performance review:

- Measurement: performance must be measured during this time.
- Feedback: it is important to give feedback to the employee during review.
• Positive reinforcement: it is important to focus on positive areas and also to encourage where performance is not up to the required standard.
• Exchange of views: it is important to allow the employee an opportunity to express his or her views on the process as well.
• Agreements on action plan: both parties must agree on the action plan as this will assist in ensuring that all areas receive attention during the performance period.

From the above it can be seen that when a performance review is done, there is much that can be achieved. Through the review, the employer will be able to see or determine if the employee is still on course to achieve the set goals. The employee will also be able to see if there is a need to improve on the performance or increase the pace in order to meet the targets within the set timeframe.

3.5.4 Annual performance assessment
This is the last activity in the assessment cycle. During this time supervisee will assess himself/herself first and then the supervisor will do the assessment and lastly the assessment will be submitted to a moderation panel for moderation. According to the EPMDS framework (2007:17) a moderation panel is composed of the managers from different sections or divisions. The panel's duty is to moderate the assessment between the supervisee and the supervisor. This panel plays an important role by ensuring that scores or ratings are not inflated without convincing evidence so that the given score is a true reflection of performance.

3.6 Performance moderation

According to the EPMDS framework (2007:19) performance moderation is the process of checking if the awarded score is a true reflection of the performance for the period. This process is important to ensure that awarded scores are tested for correctness and rectified/amended if necessary. The aspects of performance moderation will be discussed hereunder.
3.6.1 Normal distribution curve of performance categories

This means that the performance of all employees in the public service will be divided into five acceptable categories in a bell curve format. The acceptable performance in a normal organisation should be divided as follows:

- 3% of staff will be rated under unacceptable performance.
- 7% of staff will be rated as performance not fully effective.
- 65% under will be rated as performance fully effective.
- 22% under will be rated as performance significantly above expectations.
- 3% will be rated as outstanding performance.

According to the EPMDS framework (2007:20) if the majority of people in the organisation are concentrated at the lower or higher level, it should pose a problem to the whole organisation, for example if 65 percent of people are under category one which is unacceptable performance, government departments will not be able to achieve their mandate. If too many are higher, the department might have to compensate for false performance because the performance indicator might not be a true reflection of actual performance.

3.6.2 The intermediate review committee

According to the EPMDS framework (2007:21) if an intermediate review committee is optional in the Departments of Public Service, it will only be established where there is a need to do so. The duty of the intermediate review committee is to moderate the assessment of the supervisor and the moderation committee. Senior managers will normally form part of this committee. In practice, this type of committee is not established because their establishment is optional.

3.6.3 Departmental moderating committee

Every government department in South Africa is expected to establish this committee. It is normally comprised of senior managers in the department. These members are always appointed by the head of department. According to the EPMDS framework (2007:21) the duty of this committee is to ensure that the annual performance assessment is done in a
realistic, consistent and fair manner, and to monitor the performance assessment process by obtaining an overall sense of whether norms and standards are implemented consistently. Some of the duties of this committee are to detect potential problems in the system and advise the head of department accordingly to recommend reward levels and remedial action for poor performance and non-performance respectively. This committee will have the last word as far as the final recommendations are concerned with regard to performance.

3.6.4 Assessment appeal panel
According to the EPMDS framework (2007:22) this committee is established for the purpose of dealing with any appeal registered by an employee who might be dissatisfied with the moderation by the departmental moderation panel. The assessment appeal panel aims to handle all matters referred to it in a fair and just manner. The decisions of the appeal panel are always binding and final.

3.6.5 Disagreements over rating and assessment
According to the EPMDS framework (2007:23) in case the employee is still dissatisfied with the final results after registering the matter with the appeal committee, he or she is free to pursue the matter through the normal internal grievance process. The grievance process will allow the aggrieved employee to put in a formal grievance so that the matter can be investigated on different levels. This is the first formal avenue to address grievances.

3.7 Outcomes of performance assessment and recognition

The results or outcomes of performance assessment are important and can be utilised for different areas in the organisation. Hereunder are possible areas in which the assessment results or outcomes can be used.
3.7.1 Probation

According to the Concise Oxford English dictionary (2006:1143) probation means the process of testing or observing the character or abilities of a person who is new to a role or a job. Probation can happen when a person has just been appointed and is given a period to perform according to the set standard. In the public service probation is twelve months. The performance of employees on probation is managed in terms of the PMDS process as well as the departmental policy on probation. According to the EPMDS framework (2007:23) the process is as follows:

- The EPMDS will serve as the system that is used to assess an employee during the period of her or his probation. The assessment documents are also considered when reviewing probation.
- The performance assessment of employees on probation must be conducted quarterly and must link with the EPMDS. Only one process should be followed. There is no separate assessment for a person who is on probation.
- The performance assessment form must be submitted to human resources immediately following the assessment and be submitted during agreed times. Since this is supposed to be done quarterly it must be done strictly according to the prescribed procedures.

Therefore it is important to ensure that everything that is supposed to be measured during probation is done as expected. It is also important to ensure that all time frames are adhered to at all times.

3.7.2 Managing performance that is not fully effective

Supervisors are required to first identify and then, in line with a developmental approach, deal with unacceptable performance of supervisee’s under their supervision. If the employee’s performance rating is “not fully effective” or lower during the annual performance assessment, he or she must be given assistance in order to address the performance shortcomings.
Performance monitoring, including the performance reviews, provides opportunities to ensure this (poor performance) does not happen or is minimised. Interventions by the supervisor to overcome performance shortfalls on the part of the employee can include any or all of the following:

- Personal counseling: motivating or ascertaining the actual causes of poor performance.
- On-the-job mentoring and coaching: assisting the employees by mentoring or coaching them.
- Formal training/retraining: sending them for formal training if the performance gap requires training.
- Restating the work plan performance requirements: modifying the employee’s work plan.
- Work environment audits to establish other factors affecting performance.

According to Cornelius (1999:175), when dealing with performance which is not fully effective, it is important to look at possible causes, which can include the following:

- Lack of effort: where an employee is not making any effort to do the work.
- Lack of training: when there is willingness on the part of the employees but they lack proper training, knowledge and skills.
- Lack of ability: this is where the employee has little ability to do the work.

According to the EPMDS framework (2007:24), if the main cause of poor performance is identified, it will be possible to suggest relevant interventions. From the above it can be seen that there are a number of aspects in the public service that can play a role in performance which is not fully effective. It is therefore important to ensure that the real causes are identified so that the correct intervention can be implemented.
3.7.3 **Pay progression**

Employees in the public service who are on salary levels 2 to 12 are eligible for pay progression for up to the maximum notch of the salary level attached to their posts when they perform according to the required standards. Progression to the next notch within the employee's salary level as of 1 July 2003 has been based on a period of continuous service and performance, and is not automatic. To qualify for pay progression, according to the EPMDS framework (2007:24), an employee must complete a continuous period of at least 12 months on her or his notch (1 April to 31 March) and must perform at least at the level of fully effective (satisfactory), as assessed in terms of the PMDS.

3.7.4 **Departmental performance incentive scheme**

According to the EPMDS framework (2007:23), every government department is allowed to decide on its performance incentive scheme. Incentives include:

- Any non-financial reward.
- A non-pensionable cash reward not exceeding 20 percent of the employee's pensionable annual salary.
- A non-financial reward as well as a cash reward.

Departmental incentives are important because they serve as a way of motivating those who are performing poorly because they can see that good performance is rewarded. Those who are performing well will be motivated to keep up or better their performance standards. Performance bonuses will be discussed next.

3.7.5 **Performance bonus**

According to the EPMDS framework (2007:26), a performance bonus can be recommended for all employees who according to their performance exceed expectation. This will only be paid to the 25% of the total staff whose performance was rated as above average. Each department can decide on the percentage of staff to receive a performance bonus, for example, according to the Department of Public Service and Administration the distribution curve as discussed herein above, 25% is constituted by those employees who performed better than was expected, (the above average and the exceptional
category). If a performance bonus is given to people who do not perform well, this might
defeat its purpose so it is important that a performance bonus is paid according to this
policy.

3.7.6 Budget for incentives

The performance cycle in the South African government is a one-year period running
from 1 April to 31 March of the following calendar year. Therefore, according to the
EPMDS framework (2007:28), each department must budget:

- 1% of the wage bill for effecting pay progression for salary levels 2 to 12.
- 1.5% of the remuneration budget for the allocation of performance bonuses for
  salary levels 1 to 12.

From the above it can be seen that each public service department must plan accordingly
and ensure that there is always money in the budget available to pay the incentives as
required by the policy.

3.7.7 Non-financial incentives

According to the EPMDS framework (2007:28), financial rewards on their own are not
always sufficient to motivate staff towards performance excellence. Other more creative
ways of recognising performance should be explored where the reward does not directly
lead to "money in the pocket".

The departments may, from time-to-time, at the discretion of the head of department,
introduce mechanisms for non-financial recognition to stimulate performance across the
department. However, managers may also propose forms of non-financial incentives
provided these remain non-financial and do not change any basic condition of
employment. The following are examples of non-financial incentives that can be
considered:
• Acknowledgement and recognition of performance excellence, like being featured in the departmental publications; given specially created awards and certificates; citations at conferences/meetings or attending of conferences.
• Increased autonomy to organise own work and/or increased resources with which to perform work.
• Public awards of various kinds made by management in recognition of a specific achievement or innovation or for consistent achievement over a specific period.
• Specific access to specialised training and development opportunities.
• Participation on a prioritised rotation basis in study or overseas tours and other visits by the head of department and/or senior management.

The above indicate that incentives are not only in the form of a monetary reward but non-monetary incentives can be considered by government departments as well.

3.8 System evaluation and review

According to the EPMDS framework (2007:29), evaluation of the PMDS should help determine whether the system is functioning effectively. An evaluation schedule should be established in the early stages of the performance cycle. This will assist supervisors in targeting the generally desired outcomes of the PMDS. It is important to initially determine the types of data required throughout the performance management process. The department will obtain current status data with which to compare future data.

The evaluation strategy will be determined as the performance management programme is being rolled out. The evaluation strategy should change if it does not provide appropriate data on which to base future decisions with regard to how performance management is managed in the organisation. Some of the questions that should be asked and answered in an evaluation include the following:

• Is the programme addressing the department’s needs?
• Does the programme fit the department’s values and culture?
• Do managers have the necessary skills to use the programme?
• Does it provide useful data for making personnel decisions?
• Do the employees understand the PMDS system?
• Is the PMDS still relevant for the organisation?

It can be seen from the above that a review of the PMDS is important. It is crucial in determining if the PMDS is still relevant for a government department. If the PMDS is not relevant, it will be impossible to improve performance in the public service. PMDS therefore plays an important role in the public service.

3.9 Conclusion

This chapter focused on the PMDS in the South African Public Service. The process of performance management and development as provided for by the EPMDS framework in the Public Service was looked at, which included the development of the performance agreement, the performance work plan and going through the process of performance monitoring, performance review, performance moderation, the appeal process and the review of the performance management system. This chapter showed that the performance management system in the public service should be handled according to the EPMDS framework of the public service and it also showed that this is an important document with regard to performance management in the public service.

This chapter has led to a better understanding of how performance management takes place in the public service. The next chapter focuses on the performance management and development system in the Department of Correctional Services Limpopo Region.
CHAPTER 4

PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN THE CORRECTIONAL SERVICES: LIMPOPO REGION

4.1 Introduction

The previous chapter, Chapter 3 dealt with the PMDS in the general public service. This chapter will focus specifically on the Department of Correctional Services by determining the background and development of the performance management system in the Department. This chapter will also determine how the performance management system is currently being used in the Department of Correctional Services in Limpopo region. Although the research focuses on the Limpopo region of the Department of Correctional Services, this chapter will firstly look at the departmental performance management policy of the Department of Correctional Services.

This chapter consists of analysing of the performance and career management policy of the Department of Correctional Services. Therefore this chapter will specifically focus on the PMDS that is currently being used in the Department of Correctional Services. More information was acquired through reading and analysing the performance and career management policy, audit reports, internal circulars and information from other researchers and other departments' PMDS policies. This chapter will start by giving an overview of the department of Correctional services and then explain the background of the policy, the objectives of the policy, career management, policy implementation, policy monitoring, evaluation and review and will also focus on the practical challenges that have been experienced during the implementation of this policy since its inception in the Department of Correctional Services in Limpopo region.
4.2 Overview of the Department of Correctional Services

The Department of Correctional Services has come a long way to achieve what it is today. According to the White Paper on Corrections in South Africa (2005:43-61) the Department has been through different stages since the early 1900s based on the political landscape which existed over this period. To give a brief overview, those areas will be dealt with hereunder.

4.2.1 The early 1900s

The early part of the last century saw the prison system regulated mainly by various provincial ordinances. The British occupation of the Transvaal and Orange Free State Republics in 1900 led to a major reorganisation of the penal systems in these provinces. The Prisons and Reformatories Act, Act 13 of 1911, was introduced shortly after Unionisation which happened in 1910, and saw the prison system or department becoming responsible for its own management. According to the White Paper on Corrections in South Africa (2005:43), when this Act was introduced, there was much talk of rehabilitation but very little actually happened in this regard.

4.2.2 The 1945 Landsdowne Commission on Penal and Prison Reform

Developments during 1945 held much promise. The Landsdowne Commission on Penal and Prison Reform (White Paper on Corrections in South Africa 2005:44) found that the Prisons and Reformatories Act of 1911 had not introduced a new era in South African prisons but had in fact been a vehicle for maintaining the harsh and inequitable prison system that preceded it. It should be mentioned that According to the White Paper on Corrections in South Africa (2005:44), although the commission made different recommendations, the recommendations were never implemented because farmers association extended the use of prison labour in the farms.
4.2.3 Prisons in the 1960s and 1970s
According to the White Paper on Corrections in South Africa (2005:45) new prison legislation in the form of the Prisons Act (Act 8 of 1959) was introduced. This Act did not bring many changes to the prison system either, but continued to promote racial segregation within the prison system. Corporal punishment for prison offences still continued during this period.

4.2.4 The Prisons Department in the 1980s
According to the White Paper on Corrections in South Africa (2005:46), during 1988 important amendments were made to prison legislation. By excluding all references to race, a reversal of the almost total racial segregation of the prison population was brought about, although it took some years for this to be implemented. The infamous prison regulation that ruled that "white" staff members automatically outranked all "non-white" staff members was also repealed. These changes brought about hope which showed that the prison system was finally changing.

4.2.5 Prison reforms in the early 1990s
Early in the 1990s the government announced that it planned to introduce extensive reforms in the prison system. The Prison Service was separated from the Department of Justice and renamed the Department of Correctional Services. This name is still in use today.

According to the White Paper on Corrections in South Africa (2005:47), although separated from the Department of Justice, Correctional Services continued to detain awaiting trial prisoners. At the same time, in the face of rising challenges to the racial barriers on promotion of black warders into the higher ranks in the Department, the Prisons Act no (8 of 1959) was amended to make it illegal for warders to become union members without the permission of the Commissioner, which made it impossible for black warders to organize themselves against this racial barrier.
4.2.6 Transformation of Correctional Services in a democratic South Africa

On 21 October 1994, a White Paper on the Policy of the Department of Correctional Services recognised the fact that the legislative framework of the Department should provide the foundation for a correctional system appropriate to a constitutional state, based on the principles of freedom and equality. One of the conspicuous changes brought about during this time was the demilitarisation (moving from a military to a civilian approach) and from a punitive to a rehabilitation system in the correctional services in order to enhance the Department's rehabilitation responsibilities. This was introduced on 1 April 1996. Military ranks and activities such as drill parades were done away with. The Department undertook massive legislative reform in the period leading to the eventual passing of the *Correctional Services Act* (Act No. 111 of 1998) by Parliament.

According to the White Paper on Corrections in South Africa (2005:52), during this period affirmative action was also introduced and early retirement packages were introduced for those who wanted to exit the system. During this period (1996-2000) many previously disadvantaged officials were promoted to management posts. Segregation in the system, like separate detention based on race, was also done away with during this period.

4.2.7 Strategic realignment of the Department of Correctional Services since 2000

In 2003 the Department of Correctional Services underwent a process of restructuring. Since democracy had brought about nine provinces it was difficult for the Department of Correctional Services to align itself with the three-tier government system because most of the prisons or correctional facilities were small and far away from each other. During this time the regions were introduced and most of the smaller correctional facilities were incorporated under bigger correctional facilities.

Six regions were introduced, namely, Gauteng region, Kwazulu-Natal region, Western Cape region, Eastern Cape region, Free State and Northern Cape region and Limpopo, Mpumalanga and Northwest region. The criterion used was the number of inmates housed in the prisons of these regions. The total staff complement of the Department of
Correctional Services is 41,129 and only 183 of this total are Senior Management Service (SMS) members. This means that 40,964 members are being evaluated according to the prescription of the PMDS policy. The total staff compliment as at 31 March 2012 for Limpopo region, was 6,134. This region is formed by the three provinces which are: Limpopo province, Mpumalanga province and Northwest province.

The structure from region to management is illustrated hereunder.

**Figure 4.1: National and regional overhead structure of the Department of Correctional Services**

Source: Department of Correctional Services organisational structure (2012/2013 Annual Report: 11)

### 4.3 Background to performance management in the Department of Correctional Services

According to the Correctional Service’s Performance and Career Management Policy (2008:5) prior to 1994, the Department utilised a militarised performance assessment tool
which made provision for post promotions, rank/leg promotions and merit awards, and was based on critical incidents. During the period 1994 to 2000, the performance assessment tool continued to make provision for rank/leg promotions and merit awards. Notch progressions were introduced as part of the system during July 2000. The Public Service Co-ordinating Bargaining Council (PSCBC) Resolution 7 (2000:8) provided for the termination of rank and leg promotions with effect from 1 July 2001 and the establishment of a Pay Progression System. The Correctional Services’ Performance and Career Management Policy (2008:5) created a negative perception among the majority of staff in the Department of Correctional Services who felt that they had been deprived of a guaranteed career progression opportunity previously seen as an inherent condition of service. According to the Correctional Services’ Performance and Career Management Policy (2008:5) since July 2001, a new Performance Management System, guided by the Public Service Regulations, 2001, has been introduced. This system caters for performance bonuses and notch progressions.

Based on the Public Service Coordinating Bargaining Council (PSCBC) Resolution 7 of 2000, which prescribed that all sectors should develop career path guidelines, the Department of Correctional Services developed a career path model which was rejected by the Department of Public Service and Administration (DPSA) because such a model for the broader Public Service had not been developed. The White Paper on Corrections in South Africa (2005:109) also poses the challenge that all human resource processes must support the development of an ideal correctional officer. According to the White Paper on Corrections in South Africa (2005:54) an ideal correctional officer refers to a person/official who finds affinity with and identifies with the code of ethics and conduct adopted by the Department of Correctional Services. Although there have been various performance assessment tools, there has not been a clear performance and career management policy to support the effective implementation of these tools. According to the Correctional Services Performance and Career Management Policy (2008:5), a lack of policy has resulted in a number of problems that include:
• Failure of supervisors to implement the performance management system correctly, for example overrating of performance, manipulation of the system, non-adherence to time frames for performance review and feedback. This results in demotivated personnel and also contributed to low staff morale.
• Lack of understanding of the performance management system by members which results in their linking of performance management with the expectation of a reward.
• Lack of promotion opportunities and career path which leads to a “ceiling syndrome”.
• Failure to retain valuable knowledge and skills which arises from the lack of career opportunities.
• Failure to effectively manage underperformance.
• The focus on individual performance at the expense of team performance.

The Correctional Services' Performance and Career Management Policy (2008:6) seeks to address the identified gaps and to ensure compliance with the legislative and policy mandates which have been issued by the Department of Public Services and Administration (DPSA). The scope of the Public Service Coordinating Bargaining Council (PSCBC) Resolution 1/(2007:3) provides a clear direction in respect of career management events such as revised salary structures per identified occupation that caters for career pathing, pay progression, grade progression of employees which may result in, seniority, increased competencies and performance.

4.4 Policy statement and objectives of the Department of Correctional Services

According to the Correctional Services’ Performance and Career Management Policy (2008:6) the purpose of this Policy for the Department of Correctional Services, is to ensure that the workforce’s performance is enhanced in order to assist the Department of Correctional Services to achieve its strategic goals such as secure detention and rehabilitation of inmates. It also aims to support the effective implementation of the performance management system whereby personal development plans are aligned to the
Department's strategic objectives, and to create opportunities for career advancement to retain valuable knowledge and skills.

According to Stiffler (2006:39-40), arriving at a performance-driven organisation is ultimately about culture, and cultural change is a major undertaking that requires commitment, advocacy and leadership at the top level of the enterprise. Top management must be committed to the concepts of performance management and its execution and must support it. This commitment must involve frequent communication and reinforcement of the concept to employees, stakeholders, process owners, customers, suppliers and partners.

The above policy statement reflects what the EPMDS framework of the Department of Public Service and Administration wants to achieve. The policy shows that the Department of Correctional Services wants to achieve its strategic objectives through enhancing its officials' performances. It also wants to ensure that all performance gaps identified through the PMDS process are addressed through personal development plans.

According to the Correctional Services' Performance and Career Management Policy (2008:7) the Policy objectives of the Department of Correctional Services have to:

- regulate the effective management of performance and under-performance of employees in a transparent, consultative, supportive and non-discriminatory manner;
- support the achievement of the strategic goals of the Department through the alignment of individual performance plans with organisational performance;
- define performance appraisal structures, roles and responsibilities;
- enable employees to maximise their career potential and avail themselves of job opportunities, training and development; and to
- provide for the attraction and retention of valuable skills and knowledge.
According to Armstrong (1999: 162) the overall aim of performance management is to establish a culture in which individuals and groups take responsibility for the continuous improvement of business processes, and of their own skills and contributions. According to Noe et al (2010: 216) the purpose or aim of performance management is three fold and covers:

- strategic purpose – assisting the organisation to achieve its business objectives;
- administrative purpose – assisting the organisation to have information that will help it make decisions based on individual performance; and
- developmental purpose – ensuring that the policy also serves as a basis for developing employees' knowledge and skills.

The above policy objectives as stated by Noe et al (2010: 216) and the policy objectives of the Department indicate that the Department of Correctional Services has a clear aim with its introduction of the Correctional Services' Performance and Career Management Policy. What Armstrong (1999: 162) and Noe et al (2010: 216) indicate as objectives, as indicated above, are also in line with what the Department promotes. The Department of Correctional Services' Performance and Career Management Policy is in line with Noe et al (2010: 216) three areas which are strategic, administrative and developmental areas.

4.5 Performance Management and Development Policy principles for the Department of Correctional Services

The Correctional Services' Performance and Career Management Policy in the Department of Correctional Services make provision for a number of principles, which assist in ensuring that the system or process cannot be changed unnecessarily at any time.

According to the Correctional Services' Performance and Career Management Policy (2008: 8) the Department of Correctional Services is expected to manage the performance and career management of employees and teams according to the principles given below.
4.5.1 Performance Management and Development System for officials on salary levels 2 to 12 and professionals

All performance management processes shall be managed according to the PMDS principles. According to the Correctional Services’ Performance and Career Management Policy (2008:6) all eight Batho Pele principles will be implemented when the write out Performance and Career Management Policy is implemented in the Department of Correctional Services. All employees shall be required to sign a performance agreement with their supervisors during April of each year to specify performance requirements which are aligned to the strategic objectives of the Department as well as the job-related duties linked to service delivery.

Performance agreements shall make provision for the personal development needs of all employees. According to the Correctional Services’ Performance and Career Management Policy (2008:7) all newly appointed staff will be expected to sign performance agreements within three months from the date of appointment whereas those who are transferred will be expected to sign performance agreements within one month of transfer.

Continuous performance monitoring shall be conducted to assess levels of service delivery and identify developmental needs. Feedback on performance shall be provided to employees during continuous monitoring meetings as well as during the mid-term review meeting and the annual/final assessment meeting to determine the relative degree of compliance to performance standards and objectives key responsibility areas. These are the main performance areas of a specific post and general assessment factors, which are the generic areas applicable to all employees. According to the Correctional Services’ Performance and Career Management Policy (2008:8), giving of feedback by supervisors to supervisees, will be done continuously and at least five meetings must be recorded between April and October. Feedback will also be given during the mid-term review which is done after six months. The last feedback will be given during the final assessment at the end of March. According to the Correctional Services’ Performance and Career Management Policy (2008:8) the performance management system in the
Department of Correctional Services will be handled according to the following principles:

- Performance assessments shall be in line with employees' job description and performance agreements.
- All formal mid-term reviews shall be concluded for all employees by 31st October of the financial year of assessment.
- All final performance assessments shall be concluded for all employees by the 30th of April annually.
- All assessments shall be referred to a moderating committee to ensure objectivity of the performance appraisal process.
- Rewards for good performance and the management of unsatisfactory performance will be guided by the PMDS and Incentive Policy Guidelines.
- Supervisors and their higher line management are responsible for solving performance-related disputes and grievances in the PMDS. If not, they shall be dealt with in terms of the Department of Correctional Services grievance procedures and external dispute resolution mechanisms.
- All documentation related to performance management shall be managed according to the records management principles of the Department.
- Performance management procedures shall be designed to minimise the administrative burden on supervisors while maintaining transparency and administrative justice.
- Employees and supervisors must be informed and trained on the proper application and implementation of PMDS.
- Supervisors shall be responsible for the performance management of the employees under their supervision.

As contained in the procedures, these principles help to make it easy for both supervisors and supervisees to know exactly what is expected of them. With the policy and the procedures in place, more emphasis is put on monitoring because the success of the policy depends on how the process is monitored on a regular basis.

The above information covers the process of performance management from the signing of a performance agreement to the last part of a performance review in the Department of Correctional Services. It gives the roles and responsibilities of both the supervisor and the supervisee. This information might make it easier for everyone to understand the importance of the process to be followed during performance management.

4.5.2 Career management in the Department of Correctional Services

According to the Correctional Services' Performance and Career Management Policy (2008:4), career management means an ongoing process in which an individual gathers relevant information about him/herself and the work environment, develops an accurate picture of his/her talents, interests, values and preferred life style as well as alternative occupations, jobs and organisations. It can also be viewed as a mobility path within a single organisation as a sequence of work-related experiences that span the course of a person’s life.

Career management in the Department of Correctional Services is being implemented according to the following principles:

- The Department shall implement and apply Occupational Specific Dispensation. According to Correctional Services’ Performance and Career Management Policy (2008:4), Occupational Specific Dispensation refers to a remuneration system that includes a unique salary structure per occupation, centrally determined grading structures and broad job profiles, career pathing opportunities based on competencies, experience and performance as well as pay progression within the salary level.

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• As agreed upon in sectoral bargaining chambers, a grading system for employees is not covered by the occupational specific dispensation.
• The individual employee is responsible for his/her own career management.
• Career management shall be linked to the Performance Management and Development System because it can be better managed since it is also linked to the performance of each individual employee.
• Qualifying periods and criteria for pay progression and grade progression will be specifically indicated per occupational specific dispensation. It will provide for accelerated progression to higher grades for employees who consistently perform above average.

The above-mentioned information regarding career management clarifies the requirements and roles of each role player in the process. It can be seen that the process of career management places a big responsibility on employees themselves. It also assists in ensuring that employees are performing consistently because performance of more than one assessment year is considered when employees are given accelerated progression to a higher grade.

4.6 Performance and Career Management Policy implementation in the Department of Correctional Services

According to the Correctional Services Performance and Career Management Policy (2008:10) the chief directorate human resource management will manage the implementation of the policy in line with the implementation plan. Based on the Policy, the implementation will be done in line with the following principles:

• The policy procedures are to provide detailed guidelines on how the Policy must be implemented.
• Each line manager will be responsible for the effective implementation of the Policy, whereby it becomes the responsibility of every Department of Correctional Services employee to ensure that it is applied correctly.
• The Regional Head: Corporate Services, in consultation with the regional management, will be responsible for the coordination of the proper implementation and monitoring of the Policy within the region.

• The Area Coordinators: Corporate Services in consultation with the Area Commissioners are to coordinate the proper implementation of the Policy in the management areas.

According to Armstrong (1999:409) part of the implementation of the PMDS Policy should be training. Armstrong indicates that the effectiveness of the performance management system depends ultimately on the quality of the reviews carried out by managers and the attitudes of staff to the system. An essential part of the implementation of the PMDS will therefore be to ensure that both supervisees and their supervisors are properly trained in PMDS.

The above-mentioned aspects indicate that the Department of Correctional Services is committed to ensuring that the Correctional Services' Performance and Career Management Policy (2008) and its procedures are implemented in full to ensure compliance with it. The fact that several officials at different levels are tasked with the responsibilities of ensuring compliance shows that there is an intention to ensure adherence to this policy by members of the Department of Correctional Services.

4.7 Performance and Career Management Policy monitoring in the Department of Correctional Services

According to the Correctional Services' Performance and Career Management Policy (2008:11) the directorate of human resources support shall monitor the PMDS to ensure that time frames, procedures, processes and directives are adhered to through its regional and branch coordinators. This monitoring is done through spot checks by officials from Head Office and also through reports from the regions which are based on inspections and audits that the regions must carry out. Monitoring compliance with the
policy will assist in lowering the non-compliance rate and also in ensuring that where there are problems or challenges, they are detected and attended to timeously.

The directorate of human resources support shall ensure compliance with internal control measures emanating from the policy procedure manual. The regions are required to submit six-monthly integrated performance and career management reports to Head Office. These reports are to include confirmation that all supervisees have completed performance agreements and work plans, that they have had at least three compulsory performance monitoring meetings with their supervisors, and that mid-term review is conducted between the supervisees and their supervisors. This confirmation will be for the first six months of the assessment year. For the remaining six months the reports are to include confirmation that two compulsory performance monitoring meetings were held between the supervisees and their supervisors, that final assessment was done between supervisees and their supervisors and that moderation was done on all performance assessments. One of the things which should be looked at during both quarters is that proper documents were used throughout the process, ensuring that all documents are properly completed, dated and signed as required.

4.8 Policy evaluation and policy review process for performance management

According to the Correctional Services' Performance and Career Management Policy (2008:11), the directorate of human resources support will audit and analyse the integrated performance and career management reports from the regions and branches to establish areas which require policy interventions. Another example is, if the reports from a certain period indicate certain areas that need attention, such intervention may be introduced as a way of policy review. For example, if the report indicates that some of the documents are not signed because there are too many places that require signatures, the policy review can recommend that the forms be redesigned so that places that require signatures are reduced in order to ensure that there is improvement in that area.
According to Bhatia (2008:158), the individual level the performance evaluation and review will also bring about an individual development plan intended to address the development areas for individuals identified during the last or final performance assessment. This is crucial since addressing the identified performance gaps might ultimately contribute positively to the overall performance of the Department. This shows that the policy review and evaluation must always be based on what was observed from the actual performance for the assessment year or cycle.

According to the Correctional Services’ Performance and Career Management Policy (2008:12) the Policy of the Department of Correctional Services shall be reviewed every two years or as the need arises, for example in the following instances:

- The policy evaluation process requires it.
- Amendments to policies and legislative framework are effected.
- Macro and micro environmental changes occur that impact on the Department’s operations.
- There is a change in the strategic direction of the Department of Correctional Services.

According to Stüffler (2006:115-116) the report will assist in ensuring that there is improvement in the policy or the process itself. It is therefore important to ensure that the reports are analysed to ensure that the analysed results are incorporated into the policy to enhance it and to bring about effective implementation.

The above-mentioned aspects show that this Policy will not be amended or reviewed unnecessarily but only in the event of the above-mentioned conditions. It also shows that this Policy was developed after considering all performance-related aspects in the public sector and also looking at the guideline policy of the DPSA.
4.9 People involved in the performance management and development system in
the Department of Correctional Services in Limpopo region

The performance management in the region is carried out with the Regional Head
Corporate Services at the helm, and the regional coordinator performance management at
the regional level. The regions have eight management areas, each headed by area
Coordinator Corporate Services and then a human resources support manager who is the
first in line at grass roots level of performance management. The above-mentioned people
are important and play an important role as far as the performance management process is
concerned in the region. The structure from region to management area is illustrated in
the figure below.

Figure 4.2: Structure of the performance management line management in the
region

Source: Department of Correctional Services amended organisational structure: Volume 9 (2008)

From Figure 4.2 it can be seen that there are posts for performance management in all
management areas and at the regional office. This is an indication that performance
management is being taken seriously in the Department of Correctional Services.
4.10 Current state of performance management in the Department of Correctional Services in Limpopo region

The Limpopo Region has 6 134 employees at salary level 2 to salary level 12 who are covered by the PMDS. Out of this total, 67 employees were not assessed for various reasons, for example, not being available for the term of assessment, and 7 of these because of ill health. This means that 98.79% of employees did complete their performance management in the 2011-2012 audit years. This information can be seen in Table 4.3 hereunder:

Table 4.3: Assessment of staff at Limpopo region

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Staff</th>
<th>Not Assessed</th>
<th>Not Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011/2012</td>
<td>7000</td>
<td>6000</td>
<td>5000</td>
</tr>
<tr>
<td></td>
<td>4000</td>
<td>3000</td>
<td>2000</td>
</tr>
<tr>
<td></td>
<td>1000</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Limpopo region PMDS Internal Audit report 2012

From the above it can be seen that a large number of employees completed their performance management final assessment, while only 1.21% did not. Some of the problems that were experienced during the audit will be looked at next.

4.11 Problems and challenges experienced in Limpopo region with the implementation of the Department of Correctional Services Performance and Career Management Policy

At the end of each assessment year, the DCS in Limpopo region institutes an internal audit on assessment documents before the final recommendations are endorsed. This
audit is carried out by internal officials who work with performance management in the different management areas that fall within the region.

This is normally a cross-audit where officials audit areas where they are not based in order to ensure objectivity. There is also no direct exchange where an auditor from management area A will audit management area B and vice versa within Limpopo region. The last audit was, for example conducted during 2012 for the assessment of year 2011/2012. All audit findings and recommendations were consolidated. It was found that there were problems in all management areas. The procedure that the auditors followed was to bring the findings to the attention of the audited management area and gave them a date by which they had to finalise or rectify the identified mistakes. This practice of quality control is also supported by Armstrong (1999: 176) who stated that quality control can be achieved by careful initial training, by managers’ managers reviewing how performance agreements and reports are completed, and by the HR function monitoring the implementation of the scheme. Following the first complete cycle, a survey was conducted to elicit the views of both managers and staff on how the PMDS is working. Hereunder follows all identified challenges of non-compliance which were identified during the audit. Department of Correctional Services Limpopo region 2012 Internal Audit report findings will be discussed in detail hereunder:

4.11.1 Assessment forms not signed
One of the findings in the PMDS audit report of 2012 was that assessment forms were not signed. This means that those who should have signed might not accept the contents of the documents. It might also indicate that the documents were not completed at the right time or that employees don’t know and understand how to finalise their forms.

4.11.2 Assessment forms not fully completed
Assessment forms are comprised of different sections that must be completed. Incomplete assessment forms are not acceptable as this makes it difficult to administer them. These forms which are not properly completed can lead to a situation where the performance management system is compromised since some of the information is only completed
after the process was finalised. This could be due to the fact that some employees did not know how to complete their forms.

4.11.3 Summary motivation not signed
The summary should be completed by the supervisees. It also makes provision for the supervisor to comment and then both the supervisor and the supervisee should sign the document. This document is also used by the supervisor during presentation to the moderating committee. The moderating committee is responsible for moderating the performance assessment of the supervisor and supervisee. Unsigned summary motivations might mean different things which might compromise the whole PMDS process. The unsigned summary motivation might either mean that the supervisee does not agree with it or that the supervisor developed it or presented it without the knowledge of the supervisee. This might lead to unnecessary grievances, and it is therefore important to ensure that the correct procedure is always followed and that the summary motivation is completed and signed by both the supervisor and the supervisee.

4.11.4 Electronic calculator not used properly
The Microsoft excel program assists in ensuring that the calculations of scores on assessment forms are done properly before the document is downloaded. In most cases these documents are tampered with or formatted incorrectly which ultimately affects the calculator on the excel document. This problem can affect the assessment results detrimentally if it is not picked up. It might result in points awarded on a person's performance review being too high or too low. If this happens, it compromises the whole process which can then be flawed because the final results will not be a true reflection of the performance of the individual.

4.11.5 Incorrect assessment template used
Since 2007, different templates have been used because of developments that have taken place over this period. The introduction of Occupational Specific Dispensation (OSD) for different categories of employees in the Department of Correctional Services brought about different assessment documents since the assessment tools for these different
categories are different even though the system is the same. In the case where a person uses an incorrect form that does not cover the aspects of his category, such assessment will not be correct. In cases where this was identified, officials were requested to make use of the correct forms. If the wrong template is allowed, the results will be compromised and the final score given will not be a correct reflection of the actual performance in the Department of Correctional Services.

4.11.6 No workplans included
As already indicated, work plans are always developed from the job description of each employee. These documents form part of the assessment packages because they determine what needs to be achieved during that performance year. These are the main source documents since the rating given in terms of performance must always be based on what has been achieved during the year. During the audit it was established that some documents did not have work plans although the moderation had already been conducted. This indicates that there are employees who don’t know which forms to complete or how to complete their assessment. When there is a grievance at the end of the process, it will be difficult to compare what has been awarded on performance without a work plan.

4.11.7 Incorrect dates entered
In the assessment documents there are a number of areas where the date is very important because it determines what was supposed to be done have been done in time. In some cases the dates entered were the same throughout the document. This might mean that the agreement, all performance meetings, mid-term review and the final assessment were completed on the same day. This is an indication that some employees don’t understand the performance management and development process.

Looking at all the non-compliance issues identified during the 2012 PMDS audit exercise for Limpopo region as highlighted above, it can be seen that problems exist with regards to the performance management system in the Department of Correctional Service in Limpopo region. By addressing these problems the Department will be able to get a true reflection of its current performance.
4.12 Conclusion

This chapter brought forth the details of the Correctional Services Performance and Career Management Policy, its background, mandate, objectives, principles, implementation, monitoring and evaluation, as well as the review and amendment of the policy. This chapter also considered the audit results of the audit report which was conducted in 2012 for the 2011/2012 individual performance assessment documents. Although a number of problems were identified as existing with regard to the performance management process in the Department of Correctional Service in Limpopo region, it is still important to remember that the last audit report did indicate that 98.79% of employees did complete their performance reviews successfully.

The next chapter will provide the conclusion and final recommendations for this research in the Department of Correctional Services in Limpopo region.
CHAPTER 5

CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter summarises the main arguments and research findings of this dissertation within the framework of the identified research problem and stated research objectives identified in Chapter 1. This research was undertaken after the researcher observed how the performance management and development system in the Department of Correctional Services in Limpopo region was being implemented. The main purpose of this research was to understand how the Performance Management and Development System is currently being implemented by the Department of Correctional Services in the Limpopo region. Therefore the Performance Management and Development System was considered in general by giving an overview of performance management in the public service as well as in detail by focusing on the Department of Correctional Services which was the main focus of this research. Secondary research questions which were considered in this research included the following:

1. What is performance management?
2. What is the purpose of performance management?
3. How did performance management develop and come into being?
4. What does the performance management system used by the South African government look like?

This chapter in particular will focus on the research project by way of giving a conclusion and a summary of all the chapters, summarising and evaluating the findings of the research, as well as making recommendations derived from the information available after completion of the research.
5.2 Research summary

Chapter 2 of this research was devoted to firstly answering the first secondary research question “what is performance management?” This question was answered by providing an overview of the views different authors that were consulted, for example Van Dooren et al (2010), Poister (2003), Noe et al (2010), Gilley et al (2002), Heery and Noon (2001), Sutherland and Canwell (2004), Plachy (1988), Silverstein (2007) and Armstrong and Stephens (2005). After having reviewed these authors’ views of performance management, it was concluded that for this research performance management will be defined as the process of ensuring that performance standards are set by the supervisor and the supervisee and that performance is always measured against set standards on a regular basis for the duration of the performance period with the view of improving performance.

Secondly Chapter 2 focused on answering the second research question which was “what is the purpose of performance management?” This question was answered under section 2.4 where the purpose of performance management was considered according to different authors. The literature review conducted included different authors, for example, Armstrong and Stephens (2005), Noe et al (2010) and Cascio (2003). This indicated that the main purpose of performance management is divided into three categories, namely, strategic, administrative and developmental purposes. Strategic purpose refers to all activities related to the organisational goals; administrative purpose refers to internal activities such as pay rise, performance bonuses or recognition of individual performance, salary administrations, promotions, retention and terminations as well as retrenchments; and developmental purpose refers to those activities that look at developing the skills and knowledge of the employees. Understanding the purpose of performance management as indicated in Chapter 1 was also important in this research and was elaborated on in Chapter 2.

Thirdly Chapter 2, section 2.2 answers the third research question which is how performance management came into being and states that performance management
started around the early eighties as a way of addressing some of the problems that were being experienced by the performance appraisal system at the time. Spangenberg (1994:14-15) indicates that performance management came about as a response to performance appraisal problems being experienced by total quality management supporters, for example, performance appraisal destroyed teamwork and measuring objectives or standards fostered mediocrity. Lastly Chapter 2 also gave an overview of the benefits of performance management in general, the steps that should be focused on when implementing performance management, the five methods that can be considered for performance appraisal which include: written essays, critical incidents, graphic rating scales, behaviourally anchored rating scales, multiple person comparisons and the cycle or stages of performance management.

According to Armstrong (1999: 439-450) a performance management system can follow a cycle which includes: role definition, performance agreement, personal development planning, performance and performance review. Chapter 2 in general addresses the basic aspects of performance management answering three of the research questions of this research. This chapter assists in providing an understanding of the concept of performance management. In addition, this chapter indicates the origin and benefits of performance management, its implementation, appraisal methods as well as stages.

Chapter 3 focuses on answering research question four “What does the performance management system used by the South African government look like?” Therefore Chapter 3 provides a comprehensive overview of the Employee Performance Management and Development System used in the Public Service. Section 3.2 looks at the application of the framework for performance management in the Public Service including the salary levels which are covered by this framework that include all employees within the salary level 2 to salary level 12. Section 3.3 focused on the objectives of the Employee Performance Management and Development System in the Public Service, including the main reasons why it was implemented in the Public Service.
The goals of the Performance Management and Development System, objectives and the principles of performance management in the Public Service are also considered in Chapter 3. This chapter indicates that the performance management framework was put in place to ensure uniformity within the different government departments when a Performance Management and Development System is being implemented. This chapter, in addressing the question of what the performance management system used by the South African government consist of, also gives an overview of the performance cycle being used in the Public Service, performance moderation, the outcomes of performance assessment, recognition and how the outcomes of performance management can be utilised to benefit the departments and their employees. System evaluation and review that includes the evaluation and review of the Performance Management and Development System in government departments was also included in this chapter. Chapter 3 explains the whole concept of performance management in the Public Service of the Republic of South Africa.

Chapter 4 answers the main research question, namely, “what does the current Performance Management Development System used by the Department of Correctional Services in the Limpopo region look like?” This chapter therefore focuses on explaining the Performance Management and Development System used by the Department of Correctional Services in the Limpopo region. The literature that was reviewed for this chapter focuses on the Performance Management and Development System Policy in the Department of Correctional Services. For example, section 4.2 is an overview of the Department of Correctional Services which explains the present composition of the Department, as well as covering the history of the Department since its establishment in the early 1900s. This overview assists in giving the background to how the Department of Correctional Services evolved over the period of time until the present.

Section 4.3 enlightens the reader on performance management and development system in the Department of Correctional Services, indicating the origin as well as the reasons why it was introduced. Section 4.4 explains the policy statement and objectives for the Department of Correctional Services with regard to what the Department wanted to
achieve with the Performance and Career Management Policy. It also touched on the commitment by the Department of Correctional Services to ensuring that the policy is implemented successfully. According to Stiffler (2006:39-40), getting an organisation to be performance-driven is ultimately about culture, and cultural change is a major undertaking that requires commitment, advocacy and leadership at the top level of the organisation.

Section 4.4 explains the Performance and Career Management Policy principles in the Department of Correctional Services. Section 4.5 considers the Performance Management and Development System implementation which has to follow certain implementation principles. These implementation principles specify the different roles of different role players, from employees, their supervisors, managers and the departmental leadership. Section 4.6 enlightens the reader on Performance and Career Management Policy monitoring in the Department of Correctional Services, by explaining how policy implementation is monitored in the Department to ensure compliance. Section 4.7 provides an overview of how the policy evaluation and review process in the Department of Correctional Services takes place. The Performance and Career Management Policy for the Department of Correctional Services is no different from the general Public Service policy since it also covers the area of review and evaluation. Review is done under the following conditions or when:

- the policy evaluation process requires it and if there is a specific period given in the policy within which the policy must be reviewed, this period must not be exceeded;
- amendments to policies and legislative frameworks are effected. This is done only when there is a serious amendment to the policies that might affect the policy;
- macro and micro environmental changes occur that impact on the Department’s operations; this is about the internal and external environmental changes; and
- when there is a change in the strategic direction of the Department of Correctional Services, as indicated under 3.2.
Section 4.8 mentioned the people involved in the Performance Management and Development System in the Department of Correctional Services, Limpopo region as also indicated in Diagram 4.2, this includes, for example, the regional head of Corporate Services, area Coordinators of Corporate Services and managers in Human Resources Support. These people are responsible for monitoring and compiling reports on how the Performance Management and Development System is implemented in the region.

Section 4.9 considered at the current state of the Performance Management and Development System in the Department of Correctional Services in Limpopo region, and deals with the totals in terms of the levels of compliance based on the number of employees in the region. This chapter also highlights the problems or challenges which are experienced with the implementation of the Performance Management and Development System in the Department of Correctional Services in Limpopo region. These problems or challenges include: assessment forms not being signed, assessment forms not fully completed, summary motivation not signed, electronic calculator not used correctly, incorrect assessment template used, no workplans included in assessment documents and incorrect dates entered.

It deserves to be mentioned that although the above-mentioned problems or challenges have been identified, it was noticed that they are not alarming because the level of compliance according to the statistics in Chapter 4 is still high. Chapter 4 indicates that the Performance Management and Development System is being implemented successfully since 98.79% of staff members complied with the process of the System. Although other areas of non-compliance were identified, they were not alarming. Chapter 4 found that the Performance Management and Development System in the Department of Correctional Services is being implemented well regardless of the minor problems or challenges that are being experienced.

The main research question was answered in Chapter 4. This chapter looked at the concept of performance management in the Department of Correctional Services. Areas of improvement and challenges were also identified which also helps to ensure that performance management is improved.
This research aimed to answer the main research question and the secondary research questions, and provides information relevant to performance management in general, in the Public Service and the Department of Correctional Services in particular.

5.3 Final conclusion

The main aim of this research was to provide an overview of the Performance Management and Development System and implementation thereof in the Department of Correctional Services Limpopo region. This research indicated that performance management does indeed take place in the Department of Correctional Services of the Limpopo region. It also indicates that the process of performance management is viewed as important not only by the Department of Correctional Services in Limpopo region, but also by the South African Public Service in general.

It was also found that performance management can benefit the public service and the Department of Correctional Services by ensuring that performance of all employees is managed accordingly and if the management of performance is properly done, the performance of the Department might improve. Although this research found that there are some minor problems or challenges with the implementation of performance management in the Department of Correctional Services, it does also indicate that a high percentage of people completed their assessment documents with only 1.21% of employees not completing the performance management process in the 2011/2012 assessment year. It can therefore be concluded that the Performance Management and Development System is being implemented and used effectively in the Department of Correctional Services in the Limpopo region.

It was also found that the involvement of both the supervisor and the supervisee in the performance management process is of vital importance. If both parties are not equally involved in the performance management process, it might not succeed. It is important that supervisor and supervisee agree on the key performance areas for the year and this
must be done through the signing of a performance agreement and performance work plans.

If the performance is not managed throughout the year by making use of the stated requirements, it can ultimately become a paper exercise which might end up by not achieving the purpose of having a performance management system in place. The question of regular monitoring and evaluation of the process is of vital importance to ensure that the levels of compliance are improved and maintained at all times. It is also of importance to deal with areas of concern as soon as they are identified.

This research also indicates that people should be responsible for the performance management at all levels of the Department. Some of the achievements of the Department of Correctional Services with regard to the implementation of the Performance Management and Development System can be attributed to the fact that from the regional office to the management area level, there are dedicated officials who ensure that the process of performance management is complied with at all times. It is therefore important to ensure that performance management is not regarded as an *ad hoc* task for managers and supervisees but part of their day-to-day responsibility.

The findings and the recommendations of this mini research dissertation might assist not only the Limpopo region of the Department of Correctional Services but the National Department of Correctional Services and the public service of the Republic of South Africa, since the information gathered and the small challenges identified might be common throughout the department.

It also deserves to be mentioned that the Performance Management and Development System which is being implemented in the general public service, and in the Department of Correctional Services in particular, is in line with what is being implemented globally in public sectors.
5.4 Recommendations

Based on the identified challenges or problems, it is important to make recommendations about what needs to be done by the Department of Correctional Services in the Limpopo region in order to improve on or maintain the implementation of the Performance Management and Development System in the region. The recommendations therefore follow:

- To ensure that these identified challenges are not experienced with the Performance Management and Development System in the Department of Correctional Services or in the Limpopo region, it is recommend that more time should be dedicated to educating and training officials so that they can understand the concept of performance management. This may assist in ensuring that they understand the importance of completing the forms properly and to ensure that all activities, such as regular performance monitoring and mid-term reviews, are completed in time. This will also assist in ensuring that dates entered on the documents are correct because such dates will be entered immediately after those activities are finalised. It is also very important to increase the number of checkers; these checkers should ensure that all documents are thoroughly checked before they are processed. There is a serious need that proper and thorough checking of these documents be done every time a performance appraisal is completed. This will assist in ensuring that there is compliance with all the requirements and that all documents are fully completed before they are processed and that the Performance Management and Development System in the Department of Correctional Services is done in such a way that a high standard will be achieved.

- It is also further recommended that all documents used during the Performance Management and Development System assessment process, for example, the performance template, the electronic calculator and formulas used, are correct and used properly. Employees should not be allowed to manipulate the process, the calculations or formulas on the electronic documents or templates during or after the
performance management and development assessment process has been completed as this will affect the credibility of the final score.

- It is also recommended that the six areas that should be focused on when implementing performance management according to Spangengberg (1994:40-43) should be implemented because if these six areas are not given the attention they deserve, the whole PMDS can fail.

- General recommendations are that since the Performance Management and Development System policy has not been reviewed over a long period of time, it should be done so that all areas which need to be addressed, as highlighted in this research, are incorporated into the policy during its review. This will include trying to streamline the templates since one of the identified challenges was that because of different occupations, several types of templates are being used and this confuses employees causing some of them to use the wrong templates.


Public Service co-ordinating bargaining council. (Resolution no 7 of 2000) Pretoria

Public Service co-ordinating bargaining council. (Resolution no 1 of 2007) Pretoria


