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Performance management and development schemes for office based educators

by

MICHAEL OLEBOGENG SETLHARE

A minor dissertation submitted in fulfilment of the Degree of Magister Artium (CW) in Public Management and Governance at the College of Business and Economics

UNIVERSITY OF JOHANNESBURG

Supervisor: Mrs T Majam
Co-supervisor: Professor C J Auriacombe

2019
DECLARATION

I certify that the dissertation submitted by me for the degree Magister Artium (Public Management and Governance) (CW) at the University of Johannesburg is my independent work and has not been submitted by me for a degree at another university.

MICHAEL OLEBOGENG SETLHARE

STUDENT NUMBER: 201332826
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DEDICATION

This study is in memory of my late maternal grandmother, Mme Sebati Mmamorwa Mosimege, who raised me to become the man I am and who would have been proud of my achievements.
ABSTRACT

This study focused on performance management in general, and the Performance Management and Development Scheme for Office-Based Educators (PMDS) in one of the North West Province’s education districts, in particular. The minor dissertation aimed to determine which variables influence effective performance management systems and performance management and development schemes. Moreover, the study aimed to find practical solutions to improving the performance management and development of office-based educators in the North West Province.

The study focused on related contextual variables, knowledge of the determinants, theoretical approaches, concepts and trends that influence the role and value of performance management within the framework of the PMDS for Office-Based Educators in the Dr Ruth Segomotsi Mompati Education District of the North West Province. A qualitative research approach was followed. Moreover, research analysis instruments included the triangulation of unobtrusive research techniques and empirical evidence obtained from interviews.

The research found that there is no proper monitoring system to ensure that the PMDS is implemented in the district under study. In line with this, the study proposes that education district supervisors who are responsible for the PMDS should receive training to make qualified decisions. Moreover, they should be held accountable with regard to conducting performance appraisals so that office-based educators can meet their objectives.

KEY WORDS: Education District; Evaluation; Office-Based Educators; Performance; Performance Appraisal; Performance Management; Performance Management and Development Scheme for Office Educators; Performance Measurement
LIST OF ABBREVIATIONS

ANSI: American National Standards Institute
AU: African Union
CCMA: Commission for Conciliation, Mediation and Arbitration
CES: Chief Education Specialist
CIBD: Chartered Institute of Personnel and Development
DBE: Department of Basic Education
DCES: Deputy Chief Education Specialist
DET: Department of Education and Training
DPMME: Department of Planning, Monitoring and Evaluation
DPSA: Department of Public Service and Administration
EE: Employment Equity
EFQM: European Foundation for Quality Management
ELRC: Education Labour Relations Council
EMGD: Education Management and Governance Directorate
EU: European Union
FMPPI: Framework for Managing Programme Performance Information
GWMES: Government-Wide Monitoring and Evaluation System
HR: Human Resource
HRD: Human Resource Development
HRM: Human Resource Management
ILO: International Labour Organisation

IQMS: Integrated Quality Management Systems

KPAs: Key Performance Areas

KPIs: Key Performance Indicators

LRA: Labour Relations Act

MDGs: Millennium Development Goals

MEC: Member of the Executive Council

M&E: Monitoring and Evaluation

MTSF: Medium-Term Strategic Framework

NCOP: National Council of Provinces

NDP: National Development Plan

NEEDU: National Education Evaluation and Development Unit

NWDESD: North West Department: Education and Sports Development

NPM: New Public Management

OBE: Outcomes-Based Education

ODETD: Occupationally Directed Education, Training and Development Practices

OECD: Organisation for Economic Cooperation and Development

PDP: Personal Development Planning

PFMA: Public Finance Management Act 1 of 1999

PMS: Performance Management System
PMDS: Performance Management and Development Schemes for Office-Based Educators

PSC: Public Service Commission

PSR: Public Service Regulations

RDP: Reconstruction and Development Programme

RSA: Republic of South Africa

SA: South Africa

SANDF: South African National Defence Force

SADC: Southern Africa Development Community

SES: Senior Education Specialist

SETA: Sector Education and Training Authority

TQM: Total Quality Management

UK: United Kingdom

UN: United Nations

US: United States

UN: United Nations
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CHAPTER ONE

GENERAL INTRODUCTION AND SCIENTIFIC ORIENTATION

1.1 INTRODUCTION

This minor dissertation focuses on performance management in general, and the Performance Management and Development Schemes (PMDS) for Office-Based Educators in the Dr Ruth Segomotsi Mompati Education District in the Vryburg area of the North West Province, in particular. Chapter One provides the background, rationale and the problem statement of the study.

The primary guiding research question and the secondary research questions and research objectives are outlined. The scientific and methodological approach in terms of the research design, the qualitative research approach to the methodology, the evaluation approach to the methodology, unobtrusive research methods in terms of the conceptual analysis and the documentary content analysis are discussed. The chapter also explains the context of the literature review, as applied in the study.

Moreover, the data collection methods in terms of primary and secondary information sources are highlighted. In addition, terms that are used throughout the dissertation are defined. In conclusion, an overview of the chapters contained in the minor dissertation is provided.

1.2 BACKGROUND, RATIONALE AND PROBLEM STATEMENT

In the context of public service, performance contains elements relating to achievement and benefit. In terms of Management Sciences, performance is the result of organisational expectations. Thus, it focuses on measuring the organisation’s effective outputs on various levels to achieve its goals. Whereas, in the area of managing economic activity, performance refers to the results and effects of managing socio-economic activities. In the area of Human Resources (HR), it refers to the ratio of input and output from the perspective of employee behaviour or results.
In terms of measuring the effect of government activities in the public sector, it focuses on multiple goals (Li & Gao 2008:24). Performance is a multi-dimensional and multi-faceted concept, as it enhances the overall effectiveness and efficiency of government. Both individuals and organisations are paramount to successful governance. In pursuit of development and successful public service delivery, notwithstanding the responsible usage of public and economic resources, performance in government becomes an important phenomenon.

The definition of ‘performance’ by Rudman (2003:7), Banfield and Kay (2008:269) and Aguinis (2009:78) depicts a notion that public service employees play a central role in achieving development goals in relatively emerging economies such as South Africa. Thus, the public service is the main contributor towards realising such development goals. For this reason, the performance of employees within public service institutions need to be managed and developed. According Ghosh, Chatterjee and Ghosh (2010:217), every institution focuses on facilitating optimum performance. As employees are the key to achieving organisational success, their performance should be optimised.

If employees are central to achieving optimal performance within the public service, as suggested by Ghosh et al. (2010:217), then it is equally important to improve employees’ performance. While performance is constituted by both teams and individuals, individuals need to perform within a team context. Deb (2008:53) concludes “that the effective management of individual performance is critical to the implementation of strategy and the organisation achieving its strategic objective… despite the employee’s natural desire to perform and be rewarded”, it cannot be expected that performance will improve naturally.

“The principles of performance management are based on promoting organisational effectiveness, efficiency, economic growth, productivity and accountability… performance management must not be confused with performance appraisals” (Auriacombe 2019). Notably, “performance management is an ongoing two-way communication process, undertaken in partnership between an employee and his/her immediate supervisor” (Auriacombe 2019). According to Auriacombe (2019:6), “This process of communication must involve the
establishment of clear job expectations and an understanding about:

- the essential job functions the employee is expected to perform;
- an indication of how the employee’s job contributes to and is aligned with the strategic goals of the organisation; and
- what the quality requirements would be for a ‘job well done’, and how these quality requirements will be measured”.

“Performance management is a systematic approach to ensuring better results from the organisation, divisions, teams and individuals by understanding and managing performance within an agreed framework of planned goals, objectives and standards” (Auriacombe 2019). In line with this, performance appraisals focus on “the systematic evaluation of an individual with regard to job-related performance and the potential for development…usually the individual’s immediate superior in the organisation evaluates his/her performance” (Auriacombe 2019). According to Auriacombe (2019:6), superiors conduct these reviews to improve on employee performance in:

- “their key areas of accountability;
- meeting their performance objectives;
- what level of authority they have;
- the opportunities for learning and development; and
- how to make qualified decision within their level of competencies”.

What is an effective performance management system (PMS)? According to Auriacombe (2019:62), “An effective system helps organisations, managers and employees succeed. It helps the organisation to meet its short- and long-term objectives by helping both managers and employees to do their jobs better”. Since performance management “is a tool for success”, it is necessary to understand the critical elements of an effective PMS” (Auriacombe 2019). The success of a PMS lies in the top-management’s ability to ensure that employees are kept motivated through
feedback on performance measurement, training needs assessments and rewards for good performance. Therefore, performance recognition is crucial in people management. For this reason, a management accounting system “needs to be in place to realise the organisation’s mission statement” (Auriacombe 2019).

Discussions on international best practices have highlighted that the evolution of performance management has seen emerging economies such as China and Brazil, who adopted the concept from powerful economies like the United Kingdom (UK) and United States (US), transform their public sector to serve the people. Having learned from the private sector, these large economies have prospered over time. This success can certainly be attributed to the practice of performance management. Brazil adopted the concept to facilitate reconstruction, while China is considered as an international economic hub. Undoubtedly its prospects in South Africa is eminent. These international best practices will be dealt with in Chapter Three of the minor dissertation.

Performance management “in the South African Public Service functions within a statutory and regulatory framework” (Auriacombe 2019). A wide range of legislative and policy documents on performance management have been published since 1994. Notably, these policy and legislative documents drive “Human Resource Management (HRM) and development practices in the public service” (Pillay 2009:35).

The number of documents published since 1994 clearly articulates the South African Government’s quest to transform the public service. Like many countries on the African continent and elsewhere, South Africa has introduced a number of reforms to close the existing gap of poverty and deprivation that was created by the former apartheid regime. This gap was created by apartheid legislation and policies that excluded the majority of the non-white population. Performance management is one of the reforms in HRM practices.

The statutory and regulatory framework for HRM, in general, and performance management in particular, will also be dealt with in Chapter Two of this minor dissertation. With regard to the statutory framework, attention is paid to the (Act No. 108 of 1996) (hereafter referred to as the Constitution, 1996); the Public Service Act,
1994 (Act No. 103 of 1994), the Labour Relations Act, 1995 (Act No. 66 of 1995) (hereafter referred to as the LRA, 1995); the Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997); the Skills Development Act, 1998 (Act No. 7 of 1998); the Skills Development Levies Act, 1999 (Act No. 9 of 1999); the Employment of Educators Act, 1998 (Act No. 76 of 1998); and the Public Finance Management Act (PFMA), 1999 (Act No. 1 of 1999). In terms of the regulatory framework, the chapter discusses the White Paper on Reconstruction and Development, 1994 (hereafter referred to as the RDP White Paper), the Public Service Regulations, 2001, the Medium-Term Strategic Framework (MTSF) and the National Development Plan (NDP): Vision 2030.

The demand for effective and efficient service delivery has intensified since the Fifth Parliament of the Republic of South Africa (RSA) placed pressure on public sector institutions to meet the basic education needs of the country’s citizens. The RDP White Paper mandates all government departments to play a significant role in realising the aspirations of the poorer segments of the South African society to create a better life for all. The Department of Basic Education (DBE) is not excluded from this important demand. However, the DBE is confronted by a slow pace of transformation. The largest challenge is the ailing basic education system, which is struggling to help eradicate poverty in South Africa.

The RDP White Paper regards poverty as the single greatest burden South African citizens face. Undoubtedly, poverty can be eradicated when young people receive quality education. This places the DBE at the centre of the fight against poverty. It is employees who make things happen in any institution. Office-based educators in the DBE are charged with a responsibility to ensure that the curriculum is implemented and supported in the South African school system.

Since 1997, the Department of Public Service and Administration (DPSA) has been advocating that a PMS be established in the public sector to ensure that performance is evaluated and improved. The DBE launched the PMDS in 2002 to evaluate the performance of office-based educators (Education Labour Relations Council (ELRC) 2002). Previously, the DBE was not viewed as a public sector institution that could help shape the socio-economic status of South Africans.
However, the tides have turned and the DBE is now regarded as a vital role-player in the road towards radical economic transformation. As such, it features strongly in the National Development Plan: 2030 as well as achieving the former United Nations (UN) Millennium Development Goals (MDGs) that were not met by 2015. Despite the government’s focus on meeting the eight MDGs, it clear that Goal One, “to eradicate extreme poverty and hunger”, was not met. Therefore, office-based educators in the DBE play a pivotal role. For this reason, their performance should not only used as an accountability framework but should also be evaluated and improved.

The South African public sector is on a trajectory of radical socio-economic transformation. For the DPSA to deal with the constrained, outdated and inappropriate HRM practices inherited from the former apartheid government, the South African Government introduced a policy on performance management in 1997 (DPSA 1997). The DPSA has the mandate of ensuring that performance management is advocated and institutionalised in all government departments. The PMDS, as coined by the DPSA, is considered to be a practical approach to improving performance within the public sector. However, a diagnostic report commissioned by the Presidency in 2007 suggests that it had not improved accountability (DPSA 2007).

Prior to 1994, there was no PMDS for Office-Based Educators and therefore the performance of office-based educators was not evaluated. The term ‘office-based educator’ is enshrined in the Employment of Educators Act 76 of 1998. It refers to a wide range of employees, such as Circuit Managers, Curriculum Advisors, Educational Planners and Project Coordinators. They assume ranks such as that of Chief Education Specialist (CES), Deputy Chief Education Specialist (DCES) and Senior Education Specialist (SA Department of Basic Education (DBE) 2011c). Office-based educators – the target group for this research project – are responsible for the academic and professional development of institution- or school-based educators. These aspects will be dealt with in Chapter Four of the minor dissertation.

According to the Employment of Educators Act, 1998, office-based educators support and facilitate curriculum delivery in different ways and in line with specific responsibilities ascribed to various positions. Notably, office-based educators play a
key role in ensuring that the DBE’s mission and objectives are met. In 2002, the former National Department of Education and Training (DET) (now the DBE), published the Collective Agreement 3 of 2002, which entails a detailed policy titled the ‘Performance Management and Development System (PMDS) for Office-Based Educators’ (ELRC 2002). Within this context, the PMDS focuses on evaluating the performance of office-based educators. Moreover, it aims to ensure staff benefit by gaining a clear picture of the DBE’s expectations, receiving recognition for “their efforts, receiving feedback on their performance, improved training and development and enhanced career planning” (ELRC 2002:1). These aspects will also be dealt with in Chapter Four.

The rationale of this study is premised on the fact that the Fifth Administration of the Republic of South Africa vowed in 2009 to change the landscape of basic education by aligning it to the NDP: Vision 2030, a blueprint to eradicate poverty and build a prosperous country. Since 2010, the government has focused on streamlining basic education. The study is based on the existing official documents within the DBE, as well as local and international educational and public management research studies. These studies reveal a decline in the standard of teaching and learning in South Africa. In 2012 and 2013, the National Education Evaluation and Development Unit (NEEDU) released damning reports on the quality of basic education, which implicated all office-based educators for the ailing basic education sector.

Against this background, the researcher argues that the PMDS for office-based educators is designed to evaluate and improve the performance of these office-based educators. The DBE faces a challenge of improving the quality of basic education. However, various well-documented sources including the media and the DBE itself raises concerns about office-based educators’ role in realising the quality of basic education. There seems to be a disjuncture between the PMDS for Office-Based Educators and their role in realising improved quality of basic education. In line with this, as noted before, the current study explores the implementation of the PMDS for Office-Based Educators by evaluating the effectiveness of this policy in the Dr Ruth Segomotsi Mompati Education District in the North West Province. This is done by assessing the work of the Chief Directorate: Quality Assurance responsible for implementing the scheme.
The rationale of this research project is that the PMDS for Office-Based Educators is an important management practice within the context of South African basic education. The DBE’s much-anticipated contribution as a key role-player in the NDP: Vision 2030 has prompted the researcher to explore the implementation of the PMDS for Office-Based Educators and its implications in facilitating “Improved quality of basic education,” as envisioned by the DBE.

Since the inception of the PMDS as a departmental policy in 2002, its implementation has never been evaluated to determine whether employees benefit from the scheme in terms of better training, development and career planning. Furthermore, research has never been undertaken to determine whether the basic education sector benefit from the PMDS. The future success of the PMDS, remains unknown. Molale (in NWED 2007:123), a retired Superintend General and former Senior Manager in the North West Department: Education and Sports Development (NWED) argues that quite significant volumes of time and energy are directed to the development of new policies and these policies are intended to bring about significant change. However, the development of policies is not enough to understand the implementation process of these policies, the complexities of change, as well as the dynamics of delivery systems. These failures are deeply felt on an implementation level in institutions responsible for service delivery. Therefore, caution has to be exercised.

Given the above context, this study attempts to add knowledge on policy implementation in the South African public sector, in general, and the DBE in particular. Former Minister of Basic Education, Naledi Pandor (2005:9) argued that when there is poor execution of a policy, it is difficult to assess the exact reasons for the failure. According to Pandor (2005:10), “…each time we are confronted with a policy failure in education, we tend not to develop effective measures to resolve the problem but seem to allow it almost to perpetuate”. It is therefore important to analyse the current status quo within the education sector in the hope of improving classroom performance. To this end, this exploratory research seeks primarily to evaluate the effectiveness of the PMDS in the Dr Ruth Segomotsi Mompati Education District.
The researcher is an employee in Dr Ruth Segomotsi Mompati Education District in the North West Province of South Africa. He is an office-based educator himself, specifically an SES responsible for the implementation of Integrated Quality Management Systems (IQMSs), Special Programmes and the PMDS.

In view of the above background, the dual primary guiding research question for the purposes of this minor-dissertation is: **What are the variables influencing an effective PMS, in general, and the PMDS, in particular, and which practical actions can be taken to improve performance management and development for office-based educators in the North West Province?**

### 1.3 SECONDARY RESEARCH QUESTIONS

The following secondary questions aim to help answer the guiding research question:

- What do the concepts of performance, performance management and performance measurement entail?
- What are the elements of performance management?
- Why is performance management in the South African public sector important?
- What do the statutory and regulatory framework for HRM in general and performance management in particular entail?
- How did performance management develop nationally and internationally?
- What are the international best practices for performance management?
- What are international theories, tools and models of performance management?
- What is an office-based educator in the context of an education district?
- What is the nature of the PMDS?
• Which strategies, frameworks and institutions are related to execution of the PMDS?

• Why is it important to evaluate the performance of office-based educators?

• What are the processes associated with the PMDS for office-based educators?

• How are the development of work plans, discussions about capabilities and quarterly and annual reviews conducted and monitored in an education district?

• Do office-based educators benefit from application of the PMDS in terms of performance management and development?

• Did Collective Agreement 3 of 2002 and the PMDS lead to improved training, development, career planning and curriculum delivery for office-based educators?

1.4 RESEARCH OBJECTIVES

The research objectives of this dissertation are as follows:

• To discuss the conceptual, contextual, statutory and regulatory variables that influence performance management in the South African Public Sector.

• To determine how the performance management phenomenon developed in South Africa.

• To highlight the international best practices, theories, tools and models concerning performance management.

• To determine how performance management and the development of office-based educators are executed in terms of the variables that influence application of and compliance with the PMDS in an education district.
• To determine how the empirical findings obtained from interviews supported performance management and development in general and the PMDS in the Dr Ruth Segomotsi Mompati Education District in the North West Province of South Africa in particular.

1.5 SCIENTIFIC AND METHODOLOGICAL APPROACH TO THE STUDY

Researchers “in many different contexts must engage in research and provide valid results for decision-makers in society and the government” (Auriacombe 2005:42). According to Auriacombe (2005:42) and Webb and Auriacombe (2006:588), “These results often form the basis on which various decisions are taken”. While doing their research, however, “researchers often confuse the concepts research design and methodology”, and it is important to understand that they “are two separate aspects of a research project” (Mouton 2001:55). In particular, “it is important for a researcher to understand what is meant by ‘methodology’ and how methodologies are applied in research” (Auriacombe 2005). According to Auriacombe (2011:55), “Methodology considers and explains the logic and philosophy behind the use of certain methods for research instead of others…for example, it explains why quantitative methods would be better for a particular project rather than a qualitative method”. Schwandt (2007:193) adds that “methodology includes the assumptions and values that serve as a rationale for the research and the standards or criteria the researcher uses for interpreting data and reaching conclusions”.

In their definition, Perri and Bellamy (2012:1) state “that methodology also involves understanding on how to use empirical research findings to make inferences about the truth, or at least the adequacy of theories”. These inferences are based on the supposition that empirical facts are often more interesting when they enable the researcher to make deeper judgements. In addition to facts, they allow the researcher to arrive at a defensible conclusion based on observations, including the way in which people think about the world (Perri and Bellamy 2012:1).

According to Schwandt (2007:193), “Methodology is a theory of how inquiry should proceed”. A “wide range of methodologies can be utilised to understand social phenomena, including qualitative and quantitative methodologies” (Auriacombe 2005). Schram (2002) claims that, “Commitment to a particular methodological frame
of reference will influence and inform the study in very specific ways”. Hence, one’s conceptual framework and the methodology one uses to gather and analyse data should be aligned. Schwandt (2007:193) states that, “Methodologies explicate and define, _inter alia:_

- what comprises a research problem;
- how to frame a research problem;
- how to choose the research setting; and
- the methods to be used to generate, analyse and interpret scientific data”.

For Schwandt (2007:193), “Methodology is a theory of how enquiry should proceed, whereas methods are tools employed by a researcher to investigate the problem, to find out what is going on there”. Silverman (2014:54) provides a simpler definition of methods in terms of “specific research techniques”, and claims that “methodology refers to the choices we make about cases to study, methods of data gathering, forms of data analysis in planning and executing a research study and how one will go about studying a phenomenon”.

This research project will adopt a qualitative approach. According to Marshall and Rossman (2011:3), “qualitative research adopts a broad approach to the study of social phenomena”. There are “various genres (naturalistic, interpretative and increasingly critical) although they all typically draw upon multiple methods of enquiry” (Auriacombe 2005). Denzin and Lincoln (2013:17) claim that using the word ‘quality’ emphasises “on the qualities of entities and on processes and meanings that are not experimentally examined or measured in terms of quantity, amount, intensity or frequency”.

Moreover, this research project will take on an evaluative approach. Ritchie, Lewis & Nicholls (2014:33) state “that evaluative research is concerned with how well things work, an issue that is central to many policy-related and organisational investigations”. “To carry out an evaluation, information is needed about both processes and outcomes, which qualitative research can provide” (Auriacombe
2005). In the context of this research project, an evaluation of the PMDS for Office-Based educators will be undertaken in terms of a critical investigation that applies the various genres defined by Marshall and Rossman (2011:3). The PMDS is implemented based on the Collective Agreement 3 of 2002 and the policy and implementation guidelines outlined by the DBE (ELRC 2002).

The qualitative approach allowed the researcher to test the theory and the effectiveness of performance management in terms of the PMDS for Office-Based Educators and development of the PDMS in the district through appropriate data collection methods.

1.6 RESEARCH DESIGN

“A research design consists of a clear statement of the research problem as well as plans for collecting, processing and interpreting the observations intended to provide answers to the research question or to test the hypothesis” (Singleton & Straits 2004 in Webb & Auriacombe 2006:589). “Some research designs are specific, detailed and have specifically formulated decision steps, while others tend to be more flexible, semi-structured and open-ended” (Auriacombe 2005). Babbie (2001 in Webb & Auriacombe 2006:589) states that, “While the details would vary based on what a researcher wishes to study, they would face two major tasks in a research design: firstly, specifying as clearly as possible what it is they want to find out, and secondly, determining the best way to do it”.

When determining a research design, “the researcher “not only selects the methods and techniques but also the methodological paradigm: quantitative, qualitative or a combination of both” (Mouton 1996:36-40).

1.6.1 Qualitative research approach

According to Cresswell (1998 in Auriacombe 2007:98), the term ‘qualitative research’ “usually means any kind of research that produces findings that are not based on statistical procedures, or other means of quantification…Qualitative research is an inquiry of understanding that is based on distinct methodological traditions of inquiry that explore social or human problems. The researcher builds a complex, holistic
picture; analyses words or concepts; reports detailed views of informants; and conducts the study in a natural setting" (Cresswell 1998 in Auriacombe 2007:98).

Denzin and Lincoln (2005: xv) state: “There is no one way to do interpretive, qualitative inquiry because we are all interpretive bricolage stuck in the present working against the past as we move into a politically charged and challenging future”. Qualitative research is an umbrella term used to refer to different approaches, “each of which has its own theoretical background, methodological principles and aims” (Flick 2007:6 in Auriacombe 2011:36). The qualitative researcher begins with a research question that clarifies the focus and logic of the study (Schram 2002). The open approach allows social scientists access to topics that may be important but would not have been visible had they followed a rigid and structured research strategy. In addition, qualitative researchers often reject theories and concepts at the beginning of their fieldwork, preferring to formulate and test theories and concepts during the data collection phase instead of imposing an alien theoretical framework on their subject of study (Bryman and Bell 2007:66-69). However, this is not to say that qualitative research could or should not be explanatory. For the purposes of this thesis, the researcher used both deductive and inductive reasoning during theory development (Hammersley 2010).

1.6.2 Evaluative approach to the methodology

Evaluation theory underpins the methodological evaluation approach used in this minor dissertation. Therefore, it is important to explain its role in the dissertation to provide context for the subsequent chapters.

Viewed holistically, these points suggest that evaluation theory has become a central thread in the social fabric of the evaluation profession. Evaluation theory can therefore facilitate communication between evaluators practicing across the globe, help evaluation practitioners to understand and share best practices, and provide the rationale for the various procedures used in practice (Shadish 1998).

“Knowledge of evaluation theory can also help evaluators become better ambassadors for the evaluation profession and educators of potential clients” (Shadish 1998). There are “many acceptable approaches and perspectives for
professional evaluation” (Shadish 1998). However, “evaluation approaches and services may differ dramatically across evaluation teams, and finding an optimal fit between an evaluation team and the needs and interests of evaluation sponsors and stakeholders could arguably be one of the most important factors in determining whether an evaluation will ultimately be useful” (Donaldson 2004).

Hence, “effective evaluation practice could help prospective clients and other stakeholders dramatically improve their work” (Donaldson 2004). Donaldson (2004) claims that professional evaluation “…can help stakeholders make better decisions about a service, policy, and organisational direction; build knowledge and skills to develop a capacity for evaluative thinking; facilitate continuous quality improvement and organisational learning; and provide accountability or justify programmes, policy, or the organisation’s value to investors, volunteers, staff and prospective funders”.

“Beyond the general benefits of evaluation”, states Donaldson (2001), “is the question of how appropriate a particular evaluation is for a particular programme at a particular point in time…It is important to consider who could be negatively affected by an evaluation of a given sort, how much time and resources may be taken away from programme services while the evaluation is being conducted and the ways in which the evaluation process might be uncomfortable and disruptive for some project team members and other stakeholders”.

According to Donaldson (2001), “When evaluators and stakeholders fully explore the potential benefits, costs of doing a specific evaluation and make considerations of other options and approaches; their expectations and plans become more realistic and the evaluation is much more likely to reach its potential”. In addition, the author claims that “evaluations are subject to critique and even hostile attacks…Knowledge of evaluation theory can help evaluators better understand reactions to their work and help them guard against critics making different assumptions about the evaluation design or unfairly using a fundamentally different theory of practice to discredit the works” (Donaldson 2004)

According to Rossi et al. (2004:25), “Advances in social research methods since the 1950s present the evaluation field with various options in designing studies to collect and analyse data that informs the evaluation process…Studies may adopt a
quantitative approach, a qualitative approach or a mixed-methods approach as the evaluator tries to find a workable balance between the emphasis placed on procedures that ensure the validity of findings; and those that make findings timely, meaningful and useful to consumers...Where that point of balance lies depend on the purposes of the evaluation, the nature of the programme, and the political or decision-making context”.

Rossi (2004 in Shadish, Cook & Leviton 1991:377) refers to the ‘good-enough’ rule, whereby one should choose “the best possible design, taking into account practicality and feasibility”.

1.6.3 Unobtrusive research methods

All modes of observation other than qualitative field research “require the researcher to intrude on the subject under study to some degree and thus are obtrusive…In general, unobtrusive research techniques study social behaviour without affecting it” (Babbie 2001). The aim is “to counteract or eliminate bias and promote conceptual and contextual analysis” (Webb, Cambell, Schwartz, Sechrest & Grove in Huysamen 1994:136).

Unobtrusive methods “are more useful when combined with complementary methods” (Auriacombe 2007:459). “There is a major difference between data compiled by a survey and data presented in records...The former allows the researcher to obtain data concerning particular individuals, while the latter is an aggregation of information about the properties of a group or a set of individuals” (Bless & Achola 1990 in Auriacombe 2007:459).

The following sections discuss two types of unobtrusive research techniques that was utilised in this minor dissertation.

1.6.3.1 Conceptual analysis

A conceptual analysis refers to the process of developing “a conceptual framework for an empirical study...It encompasses the system of concepts, assumptions, expectations, beliefs and theories informing the research and is generally regarded as an explanation proposed to reach a better understanding of the social
reality/phenomena that is being investigated” (Maxwell 2005 in Auriacombe 2011:96). According to Auriacombe (2011:97), “The conceptual framework’s assumption is to assess and refine the goals; develop realistic and relevant research questions; substantiate arguments; clarify the theoretical framework and logic or reasoning used; define concepts; justify decisions; and direct data collection and analysis”. A conceptual framework “is also the operationalisation of the theoretical framework of a study and therefore forms an intricate part of the research design…Qualitative researchers utilise a conceptual framework to develop typologies, models and theories from the bottom up” (Eriksson & Kovalainen in Auriacombe 2011:97).

According to Badenhorst (2007 in Auriacombe 2012:65), “conceptualising includes the following: A researchable problem that is relevant... an appropriate research design... and appropriate conceptual framework... Furthermore, the conceptual analysis needs to indicate which interpretations of concepts, theories, phenomena and variables the researcher believes to be most valid which must be supported by evidence”.

Badenhorst (2007 in Auriacombe 2012:65) states that the following aspects are important to consider while performing conceptual analysis to develop a conceptual framework. According to the author, a conceptual framework:

- “unpacks the key concepts, theories and phenomena used to prepare for the research study by defining the relationships between the concepts and variables to develop themes and categories;
- provides a basic outline for analysing data in order to draw conclusions (a thread running through the entire study); and
- is usually developed during content analysis based on the literature review”

1.6.3.2 Documentary content analysis

Documentary content analysis can be described as a method of analysing official documents. When conducting content analysis, the researcher attempts to be
objective and systematic by using a quantitative coding scheme. It is a technique for making references by systematically and objectively identifying and describing specific characteristics in documentary texts (Auriacombe 2011:134). In this minor dissertation, it was used to develop the properties of the statutory, regulatory and policy documentary framework.

1.7 Literature review

A literature review synthesises what has already been written on a topic, sharing the results of prior research and relating the current study, reasoning and “conceptual framework used to the larger, ongoing dialogue in the literature” (Creswell 2009:25). It also clarifies “how the researcher’s study addresses gaps or weaknesses in the existing knowledge base (Creswell 2009:25).

A literature review helps the researcher to:

- “become familiar with the subject area of interest;
- find evidence in the academic discourse to establish a need for the proposed research;
- ascertain the nature of previous research;
- identify gaps in the knowledge of the subject;
- develop the context for a proper research problem/question;
- identify the issues surrounding the research question (what is already known about the problem);
- identify issues and variables related to the research topic;
- identify appropriate research methodologies and techniques;
- develop a research problem/question;
- establish a theoretical framework upon which to base the research;
- keep abreast of ongoing work in the area of interest;
• become knowledgeable about the topic; and

• develop the research design” (Auriacombe 2008:37-42).

In this study, accounts of how previous research was carried out were used to develop a unique methodology for this dissertation. In addition, important issues regarding the research problem were identified through the literature review.

The researcher placed the research topic within a historical context to ensure a clear understanding of prior developments and the latest research on the subject. This enabled the researcher to discuss conflicting arguments and to detect gaps in the current knowledge. In addition, the researcher critically reflected on his research philosophy and theories to establish the intellectual research context of this topic.

1.8 DATA COLLECTION METHODS

The general principle for any research is collecting data from multiple information sources that cover the same phenomenon under investigation. Thus, both primary and secondary sources were consulted that covered a wide spectrum of themes relating to the current qualitative study. The main sources from which data was collected included existing literature and unstructured (i.e. open-ended) and structured informal interviews. These sources required the researcher to apply different and adaptable techniques (Yin 1994:80-90). Therefore, the study applied a triangulation of the following three overarching data collection methods:

1.8.1 Documentary and literature sources

Documents can be used to corroborate and argue against evidence from various sources. They can aid in the construction of interviews, clarification of facts and/or drawing of inferences from specific arguments or facts (Yin 1994:81). In this research, various sources of documentation were used to understand the PMDS for Office-Based Educators, as well as to evaluate the context and aim of the PMDS as a PMS.

The following documentary sources were used to obtain secondary data:

• relevant textbooks and other published literature;
unpublished dissertations and theses;

published and unpublished research reports;

articles from scientific journals, reference works, newspaper articles, media statements and magazine reports;

official government publications and reports;

official and unofficial reports;

speeches and papers, where appropriate;

unpublished lectures, documented interviews, periodic reports and documented cases;

national and international conference papers;

legislation;

internet sources; and

annual governmental reports.

1.8.2 Interviews

Empirical qualitative analysis was performed during this research project. Bazeley (2013:3), states that “qualitative analysis is intense, engaging, challenging, non-linear, contextualised and highly variable…It can produce fresh insights and a deep understanding of the topic under study”.

According to Marshall and Rossman (2011:142), “qualitative researchers rely extensively on in-depth interviews”. To supplement the qualitative documentary analysis in this minor dissertation, the researcher used interviewing as an appropriate data collection method and mode of enquiry (Seidman 2013:8). In the current study, the in-depth interview approach assisted the author to interact with interviewees in a more relaxed manner because it recognises both the researcher and the respondents as social beings.
Interviews were held one-on-one, as part of field research (which took the form of informal discussions) or in the form of written correspondence (i.e., the researcher posed questions ahead of time and the respondents replied in writing).

1.8.3 Participant observation

Participant observation also served as a data source. De Vos et al. (2011 in Auriacombe 2017:32) regard “participant observation as a research procedure that is often used in a qualitative paradigm” when data cannot be reduced to figures. In this study, the researcher engaged with participants one-on-one to explore their world.

The data was processed and stored electronically. Qualitative data was analysed manually to identify trends and themes. De Vos et al. (2011 in Auriacombe 2017:32) are of the view “that subject matter within the Social Sciences is fundamentally different from that within the Natural Sciences…as a result, a different methodology is required to achieve an interpretative understanding and explanation that enable the social researcher to appreciate the subjective meaning of social action”.

1.9 SAMPLING PROCEDURES, SELECTION OF A RESEARCH SETTING AND METHODOLOGY

According to Silverman (2014:60), “purposive sampling allows the researcher to choose a case that illustrates a feature or process in which he/she is interested…It requires researchers to think critically about the parameters of the population in which they are interested and choose their sample case very carefully”.

According to Bryman and Bell (2007:155), a “basic principle of probability sampling is that the sample will be representative”. In contrast, Auriacombe (2017:56) states that, “Non-probability sampling is not based on the basic principle of the representativeness of a population and thus that all members of the population have an equal chance of being selected in the sample” (Auriacombe 2017:56). Qualitative research is site-specific, focusing on a particular programme, process, organisation, place, region or set of sites. After a setting is determined, the researcher must provide evidence showing why this setting is more appropriate than others. A site may be selected for its representativeness, interest and range of examples of the phenomenon under study, and sites that make the researcher feel uncomfortable or
endangered should be left alone. When the study “focuses on a particular group of people, the researcher should present a selection strategy for selecting that group” (Auriacombe 2008).

Once the “initial decision has been taken to focus the study on a specific site, a phenomenon, or social group, various subsequent selection decisions need to be taken to ensure the ‘information richness’ of the data” (Schwandt 2007:248-249). Schwandt (2007:248-249) highlights that “a crucial step when preparing to collect data about a particular social reality”, i.e. fieldwork, “is to identify and decide which boundaries/parameters will be used for data collection and the method of data analysis envisaged – that is, decide how the sample is going to be framed and developed, and design a first, tentative draft of the protocol for recording information, or an action plan”.

Unlike “quantitative sampling, which is concerned with representativeness, qualitative research requires that the data to be collected must be rich in descriptions of people and places” (Patton 1990:169). Hence, “the qualitative researcher will use purposive sampling methods by identifying access points (settings where research participants could be reached more easily) and selecting especially informative ones” (Schurink & Schurink 2008:28). Thus, purposeful sampling is “a strategy in which particular settings, persons, or events are deliberately selected for the important information they can provide that cannot be gotten as well from other choices” (Bickman & Rog 2009:235). Auriacombe (2017:67) defines the following questions that researchers must answer at an early stage of sampling:

- “Which data sources are information-rich?
- How will I get my information?
- Whom should I talk to?
- Where must I go?
- What must I do next?”
As the study proceeds, the nature of the questions asked by the researcher will change. According to Marshall and Rossman (1995 in Auriacombe 2017:68), “typical questions that will determine the sampling process at this stage include: How can I enrich my understanding? And which data sources may confirm or challenge my understanding?”. According to Auriacombe (2017:68), selecting a site will “largely be influenced by the strategy of inquiry used by the researcher...Because of the generally applied inductive model of thinking used in trying to answer the research question, as you gain more insight and as a theory emerges, you will redefine your sample on an ongoing basis”.

For example, “a researcher changing his/her sample during a study on the impact of downsizing in an organisation, may start by interviewing employees but by realising the negative impact of downsizing on employers, may extend the study to include the latter” (Schurink & Schurink 2008). A good point to remember is that “data collection and sampling are dictated by and become directed entirely toward the emergent model” (Morse 1994 in Auriacombe 2017:36).

As mentioned, structured, semi-structured and unstructured purposive face-to-face interviews were implemented for this dissertation. The researcher gathered and analysed the responses of a wide range of participants from the Dr Ruth Segomotsi Mompati Education District in the North West Province, including SESs, DCESs and CESs at both the district and provincial levels, as well as Assistant Directors, Deputy Directors and Directors at different levels of the DBE. The office-based educators were recruited from eight divisions in the district: Institutional Support, Education Management Governance Development, Inclusive Education, Ordinary Public Institutional Support Services, Adult Education, Training and Auxiliary Services. Most of the interviews were conducted in the Dr Ruth Segomotsi Mompati Education District.

Of the 63 office-based educators in the district, 20 were randomly selected for interviews. They were stratified based on gender. In addition, the PMDS District Coordinator, who is a CES; the CES for Professional Services; the Provincial Coordinator, who is a CES for PMDS; and the Deputy Directors for Human Resource Development (HRD) at both the district and provincial levels were interviewed to
obtain information regarding the training and development of office-based educators from 2002 to date. Office-based educators are largely field workers and securing an appointment for a one-on-one interview was extremely difficult. As a result, telephone interviews were conducted.

1.10 DEFINITION OF KEY TERMS

For clarification, several terms used in the context of the South African public sector are defined below.

**Education district:** A ‘district’ is a location in a province demarcated by a Member of the Executive Council (MEC) for Education in a province for administrative purposes. More specifically, it is the first-level administrative sub-division of a provincial education department (SA DBE 2013).

**Evaluation:** ‘Evaluation’ refers to periodic reviews of a policy, project or programme to determine whether or not there is valid progress towards set goals. Innes and Booher (1999a in Bengwi 2017:112-123) states that “evaluation is involving the measurement and analysis of all factors that may contribute to a policy's success or failure, along with the careful design of research to isolate the policy variable from other factors”.

**Performance:** It is expected that focused behaviour or purposeful work is performed by an individual or group within a set time frame and that results or efforts of a certain quality are delivered under certain conditions (Sarma 2008:1).

**Performance appraisal:** “This process involves determining and communicating to an employee how he/she is performing in his/her job and, ideally, establishing a plan for improvement” (Mathula 2004:3).

**Performance management:** “Performance management’ is an integral part of a HRM and development strategy…It is an ongoing process in which both employees and employers constantly strive towards improving individual performance and contributing to the broader objectives of the organisation” (RSA 1997:42).
Performance Management and Development Scheme for Office Educators (PMDS): “As part of the ELRC’s Collective Agreement 3 of 2002, the PDMS links the need for effective staff performance with the corporate planning cycle…It operates on an annual cycle that runs from 1 April to 31 March and is directly linked to the corporate planning cycle” (Mathula 2004:11).

Performance measurement: “Performance measurement’ is a process of quantifying (quantitatively or qualitatively) the input, output or level of activity of an event or process” (Freyer, Antony & Ogden 2009:478).

Office-based educators: The term ‘office-based educator’ was coined in the Employment of Educators Act of 1998. It refers to a wide range of employees, including Circuit Managers, Curriculum Advisors, Educational Planners and Project Coordinators. Office-based educators occupy positions such as that of CES, DCES and SES (SA DBE 2011).

1.11 ETHICAL CONSIDERATIONS

As explained by Matthews and Ross (2010:71), research ethics include “the moral principles that guide research from its inception through completion, publication of results and beyond”. O’Leary (2014:63) is of the view “that a researcher has an explicit and fundamental responsibility to what is researched”. As such, ensuring the physical and mental dignity and well-being of respondents are crucial.

As an employee in the Dr Ruth Segomotsi Mompati Education District in the North West Province, the researcher is committed to ensuring that the quality of the study is not compromised in any way. As such, the researcher is guided by the general principles of ethical research that is both impartial and unbiased.

The researcher obtained permission from the Director of District Education, the Director of Quality Assurance, and Chief Directorate at the Provincial Department to conduct this research. The researcher has read and understood the research and ethical requirements of the University of Johannesburg (UJ) and abided by them. All the information acquired from the respondents, including their identities, was treated with the strictest confidentiality. To this end, the respondents received a form
guaranteeing the confidentiality of the research. They were requested to sign the
document to indicate that they had participated.

1.12 OVERVIEW OF CHAPTERS

Chapter One provides a general conceptualisation of the scientific and
methodological orientation of the study.

Chapter Two presents the conceptual, contextual, statutory and regulatory variables
that influence performance management in the South African public sector.

Chapter Three contextualises perspectives on the development of performance
management in South Africa and international best practices.

Chapter Four conceptualises and contextualises the variables that influence the
PMDS for office-based educators.

Chapter Five contextualises the empirical findings from participant observation,
interviews and focus group discussions.

Chapter Six synthesises the results, draws conclusions and makes
recommendations for future studies.
CHAPTER TWO

CONCEPTUAL, CONTEXTUAL, STATUTORY AND REGULATORY VARIABLES INFLUENCING PERFORMANCE MANAGEMENT IN THE SOUTH AFRICAN PUBLIC SECTOR

2.1 INTRODUCTION

Chapter Two of the dissertation discusses the extent to which performance management practices influence performance and productivity in South African public sector institutions. The aim is to gain insight into the following research objective (see Section 1.4): ‘To discuss the conceptual, contextual, statutory and regulatory variables influencing performance management in the South African public sector’. As such, the chapter focuses on contemporary debates relating to performance management. This ranges from the key drivers behind the emergence of performance management, the processes that led to its establishment, as well as the statutory and regulatory framework governing its mandate within the public sector.

The chapter commences by conceptualising the term ‘performance’, where after the concept of ‘performance management’ is analysed in terms of the various definitions and issues that gave rise to the phenomenon. Attention is also paid to the relationship between ‘performance measurement’ and ‘performance management’. The chapter then proceeds to discuss the key elements of performance management, namely performance appraisals, training and development, monitoring progress, identifying development needs and rewarding good performance. Hereafter, the discussion turns to the importance of performance management in the South African Public Service.

To provide context, the statutory and regulatory framework for HRM, in general, and performance management in particular, is discussed. With regard to the statutory framework, attention is paid to the Constitution, 1996 the Public Service Act, 1994, the LRA, 1995; the Basic Conditions of Employment Act; the Skills Development Act, 1998; the Skills Development Levies Act, 1999; the Employment of Educators Act, 1998; and the PFMA, 1999. In terms of the regulatory framework, the chapter
discusses the RDP White Paper, the Public Service Regulations, 2001, the MTSF and the NDP: Vision 2030.

2.2 CONCEPTUALISATION OF PERFORMANCE MANAGEMENT

To provide more clarity, the terms ‘performance’, ‘performance management’ and ‘performance appraisals’ will be discussed in the following sub-sections.

2.2.1 Performance

There is no doubt that the work environment is sustained by technology, processes and systems. However, an institution’s success rests on managing the performance of its employees (Rudman 2003:7). Performance focuses on employees’ behaviour and what they do and is therefore not concerned with what employees produce or the outcome of their work (Aguinis 2009:78).

Performance can be defined as focused behaviour or purposeful work. The Education Management Service (EMS): PMDS for Office-Based Educators (ELRC 2017) states that, “Human performance involves (1) people's behaviour or actions, and (2) the outcomes or effects of those actions. Performance is a process in which resources are used in an effective, efficient and productive way to produce results that satisfy requirements of time, quality and quantity, and which are the effect or outcome of the actions or behaviour of a performer in the work process”.

According to Li and Gao (2008:24), performance is driven by the ‘3 Es’, namely “economy, efficiency and “effectiveness”. Therefore, ‘government performance’ refers to how effectively and efficiently government manages its socio-economic activities and other management-related tasks. In line with this, Rudman (2003:7) and Aguinis (2009:78) state that, government is responsible for creating an enabling environment with the needed resources, so that employees can translate government’s mandate by rendering services to citizens.

Mwita (2000:22) conceptualises the term ‘performance’ by referring to “the ABC Model of Behaviour Change…the model consists of three elements, namely antecedents, behaviour and consequences…the model advocates that behaviour can be changed in two main ways, namely by what comes prior to it (ex-ante), and
by what comes after it (ex-post)". Antecedents are used when one tries to influence behaviour before it occurs. When one attempts to influence behaviour after a specific event has taken place, consequences come into play. As the model purports that behaviour shapes performance, public service managers have the opportunity to earmark and analyse performance-related problems and take corrective measures. Furthermore, it allows them to design highly functional work environments and management systems to modify current behaviour (Mwita 2000:22).

Performance can also be defined in the context of what an individual or individuals need to deliver (performance indicators) within a specific time frame. In this regard, tasks need to be executed according to specifications such as quality, input and results (Sarma 2008:1). Within an organisational context, performance can be seen as the relationship between an individual’s set of competences and whether he/she achieves specific job-related goals (Banfield & Kay 2008:269). Thus, performance is a culmination of ability, motivation and opportunity. Importantly, PMSs are based on assumptions about the psychological processes that drive employees’ efforts (Stiles & Trevor 2006:52).

Bouvard, Carsouw, Labaye, Levy, Mendonca, Remes, Roxburgh and Test (2011:1) state that developed economies around the world, such as the G8 nations (Canada, France, Germany, Italy, Japan, Russia, the UK and the US), have reached a point of “fiscal reckoning”. Thus, these governments are necessitated to improve public service performance and delivery. Bouvard et al. (2011:2) argue that developing countries such as South Africa are under considerably more pressure to improve public service performance than economic stalwarts such as the G8 nations. According to the authors, public service performance can be improved by applying proven best practices in terms of fiscal management, as well as a focus on quality service delivery to communities (Bouvard et al. 2011:2).

2.2.2 Performance management

Performance management evolved from private sector organisations’ need to improve employee management and subsequent developments in merit-rating, management-by-objectives and performance appraisals. In this regard, the emphasis has shifted from employees’ job descriptions, to key performance indicators (KPIs)
The term “performance management” is commonly used to describe a range of managerial activities designed to monitor, measure and adjust aspects of individual and organisational performance through several types of management controls” (Itika 2011:93).

The EMS: PMDS for Office-Based Educators (ELRC 2017) defines performance management as, “A purposeful, continuous process aimed at positively influencing employee behaviour for the achievement of the organisation’s strategic goals; the determination of the correct activities as well as the evaluation and recognition of the execution of tasks/duties with the aim of enhancing their efficiency and effectiveness; and a means of improving results from the Department, teams and individuals by understanding and managing performance within an agreed framework of planned goals, objectives, standards and support incentives”.

As a purposeful business tool, performance management focuses on managing the work environment so that an individual/team can achieve a set of organisational goals (Idemobi & Onyeizugbe 2011:46). Therefore, this element of the strategic management process helps to ensure that employees add value to the organisation (Chartered Institute of Personnel and Development 2009:3).

The term ‘performance management’ is best understood within an analogical framework, as it focuses on gathering and analysing information. It helps track employees’ strengths and weaknesses, and rewards satisfactory performance. Thus, it integrates the management of organisational and individual performance to maintain a competitive edge (Mackie 2008:1).

According to Cho and Lee (2012:236), the term ‘performance management’ was first introduced to the public service debate at the end of the 20th century. In recent years, there has been a growing demand for improved service delivery by public sector organisations. Kable (2005:3) argues that a constant demand for improved service delivery at a lower cost has resulted in a growing emphasis on measuring both inputs and outcomes, as well as understanding and addressing communities’ needs. As a result, private sector policies were introduced in public service institutions to help bolster performance management (Wafula 20013:25).
Performance management now plays a crucial role in developed and developing countries’ governments (Kable 2005:3). However, there are key differences between the private and public sector’s perceptions of performance management. The private sector operates within a profit-based framework and therefore focuses on high returns through income generation. Conversely, the public sector does not view performance management from an income-generation perspective. Rather, it focuses on the assessment of value-for money. In the public service, performance management should be an ongoing, methodical approach to improving results through evidence-based decision-making, continuous organisational learning and a focus on accountability (Li & Gao 2008:24).

Performance management is a recipe for success in any organisation, be it within the public or private domain. However, it cannot be implemented in a ‘contextual bubble’. Internationally, performance management is influenced by the following factors.

- On a macro-scale, performance management plays an important role in the global economy. From an organisational perspective, it is viewed as an essential tool to ensure success within the competitive international environment (Saxena 2010:27). Within this context, Saxena (2010:27) states that its main purpose is to improve quality, reduce costs and converge processes in new ways to achieve specific goals and respond to challenges within the global market. The global recession has led to an economic decline, especially in emerging economies. To help overcome this hurdle, Fatile (2014) states that, “African public services need to lay more emphasis on productivity through effective implementation of performance management systems”. In doing this, performance management will therefore allow countries to manage economic resources successfully to facilitate service delivery.

- Pulakos (2004:1) argues that performance management is characteristic of high-performing, successful organisations. According to the author, qualified, capable managers who have a vested interest in the organisation’s success play a vital role in this regard (Pulakos 2004:1).
The public service’s primary goal is to ensure effective and efficient service delivery. Officials, managers and employees at all levels are mandated to follow processes and produce results (National Performance Management Advisory Commission 2010:3). Within this context, performance management is therefore citizen centric and focuses on providing quality services such as social services, healthcare and education.

- Performance management demands a great deal of accountability from managers, individual employees and teams (Idemobi & Onyeizugbe 2011:46). Accountability can only be judged according to evidence-based-decision making. Thus, both managers and employees should apply performance management as a decision-making tool to achieve organisational goals (Pulakos 2004:1).

- Den Hartog, Boselie, & Paauwe (2004:556) state that performance management helps define, measure and stimulate employee performance with the ultimate goal of improving organisational performance. Thus, performance management involves multiple levels of analysis and is clearly linked to strategic HRM, as well as performance appraisals.

- Nielsen (2013:431) states that performance management reform is based on the premise that outcomes-based accountability should be accompanied by increased managerial authority. This gives managers the flexibility to engineer performance-oriented change (Nielsen 2013:431). According to Fatile (2014:77), performance management is “a systematic effort to improve performance through an ongoing process of establishing desired outcomes, setting performance standards to improve performance and productivity and aim at improving the quality of public service delivery”.

Many developing countries continue to grapple with the enormous task of transforming public service institutions after gaining independence from colonial rule and other forms of subservience. The UN MDGs, for example, regarded performance management as an effective means to align the public service. It was hoped that it would ensure an organised, focused approach to implementing public service goals, such as better service delivery (Ramsigh & Nzewi n.d.:99).
In South Africa, performance management reflects an important reform in human resource (HR) practices. As performance management is central to all South African public service practices, it is focused on facilitating better results to the public’s benefit (National Performance Management Advisory Commission 2010:3). Better results imply better performance. In this regard, the National Performance Management Advisory Commission (2010:3) views performance improvement as an integral cornerstone of performance management. Therefore, the public service needs to focus on results if it is to achieve its strategic objectives of improving service delivery.

However, Kanyane and Mabelane (2009:58) point out that the South African public sector is still in the process of integrating performance management. The authors argue that, as opposed to the private sector, the public sector does not have a clear gist of performance management’s various dimensions. As a result, it is not always implemented effectively in the government sector (Kanyane & Mabelane 2009:58).

On a broader scale, Fatile (2014) notes that, “Though performance management has been introduced in the African public service with the intentions of monitoring, reviewing, assessing performance and recognising good performance, performance management systems in Africa have not been able to achieve the expected level of performance which will improve productivity”. In order to be successful, Fatile (2014) adds that, “…Public sector organisations in Africa can learn a lot from Western companies which have been wrestling with this issue for over two decades now”.

2.2.3 Performance appraisals

Performance appraisals form part of the PMS (see Section 2.4.1). Performance management helps employees understand what they should be doing. Thus, they are empowered to make every day working decisions. The core focus of performance management is continuous improvement. Organisations function more effectively when goals and objectives are aligned and linked with those of smaller sub-teams and individuals. Morale and productivity usually improve when people understand how their work contributes to the organisation’s success (Auriacombe 2019:6).
In most cases, an effective performance agreement must include a PDP. According to the EMS: PMDS for Office-Based Educators (Collective Agreement 1 of 2008: Annexure C), a PDP “is a requirement of the performance agreement whereby the important competency and other developmental needs of the employee are documented, together with the means by which these needs are to be satisfied and which includes time lines and accountabilities”.

PDPs focus on identifying any performance-related shortfalls among employees. As such, PDPs should include intervention plans through appropriate training. When managing performance process, it is crucial to conduct periodic reviews to ensure that the performance plan is being followed and that it is rendering the desired results. In most municipalities, the appraisal system, which entails an interview with a superior, is used to conduct performance reviews. Appraisals take place at least bi-annually and are mostly used to determine whether employees are eligible for promotions and salary increments. In certain cases, appraisals are also used to measure how fast an employee is learning and developing and to determine whether he/she needs any additional training (Auriacombe 2019:6).

Conducting performance appraisals is not enough to ensure the success of a performance management process (see Section 2.4.1). Hard work and productivity must be rewarded. Examples of positive rewards include financial remuneration, words of praise and a promotion or a recommendation for a company-paid training programme (Auriacombe 2019:60). Rewards encourage employees to work harder, as they know their efforts are appreciated. It also sets as an example and serves as encouragement for those who do not work as hard.

Each employee should be assessed on an annual basis. Where possible, supervisors should meet with employees on a regular basis to communicate applicable assessment criteria. Quarterly discussions should take place with employees to determine whether their performance is satisfactory, and in writing when performance does not meet criteria. Different assessment instruments can be used to determine performance. However, when assessing an individual employee, a single assessment instrument should be used to decide on aspects such as probation, rewards, a promotion and skills development (Auriacombe 2019:60).
According to Jones (1999 in Auriacombe 2019:12), performance management has evolved in several ways, as reflected in Table 1 below.

**Table 2.1: Shifts in performance management**

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
</tr>
</thead>
<tbody>
<tr>
<td>An annual event</td>
<td>A continuous process</td>
</tr>
<tr>
<td>Assessment only</td>
<td>Assessment and development</td>
</tr>
<tr>
<td>Superficial personality evaluations</td>
<td>Specific evaluation of behaviour</td>
</tr>
<tr>
<td>Loosely associate with the business cycle</td>
<td>Closely related to the business plan</td>
</tr>
<tr>
<td>Superficial objectives</td>
<td>Specific objectives</td>
</tr>
</tbody>
</table>

Source: (Jones 1999 in Auriacombe 2019:12)

Performance management has two major dimensions, namely an organisational and HR dimension. Within an organisational dimension, performance management focuses on ensuring that the entire organisation functions efficiently, effectively and economically. In this regard, applying a PMS, identifying Key Performance Areas (KPAs), setting Key Performance Indicators (KPIs) and determining performance targets play a key role (Auriacombe 2019:61). This includes the way in which resources are utilised, policies and strategies are designed, systems and processes are applied, and tools and techniques are utilised. It also includes performance monitoring and reporting by means of quarterly performance reports, performance auditing and performance accounting.

The HR dimension of performance management entails signing performance agreements or contracts, bi-annual performance appraisals and performance rewards (e.g. bonuses) (Auriacombe 2019:61). The performance agreement is the
cornerstone of performance management at an individual level. All employees must enter into and sign performance agreements before the end of the first quarter of a new cycle. In most cases, performance agreements include employee-related data such as the Personnel and Salary Administration (PERSAL), his/her job title, description and level. Here, the emphasis is on the main objectives, job purposes, key results areas and generic assessment factors (Auriacombe 2019:62).

2.3 THE LINK BETWEEN PERFORMANCE MEASUREMENT AND PERFORMANCE MANAGEMENT

Performance management and measurement started gaining traction in the mid-20th century. The idea behind the narrative was to re-establish performance from a financial entity to a non-financial entity. Many authors such as Gomes and Yasin (2011) and Heinrich (2004:20) use performance management and performance measurement interchangeably. However, Freyer et al. (2009:480) argue that the term ‘performance measurement’ focuses on the past, while ‘performance measurement’ extrapolates data to provide future-based information.

The National Performance Management Advisory Commission (2010:3) draws the following distinctions between ‘performance measurement’ and ‘performance management’: “Performance measurement helps governments to monitor performance. Although measurement is critical component of performance management, measuring and reporting alone have rarely led to organisational learning and improved outcomes. Performance management, on the other hand, encompasses an array of practices designed to improve performance. Performance management systematically uses measurement and data analysis as well as other tools to facilitate learning and improvement and strengthen a focus on results”.

Performance measurement plays a key role in the performance management system. According to Freyer et al. (2009:480), “Performance measurement is quantifying, either quantitatively or qualitatively, the input, output or level of activity of an event or process. Performance management is action, based on performance measures and reporting, which results in improvements in behaviour, motivation and processes and promotes innovation”. Ljungholm (2015:191) adds that performance measurement quantifies functions, while performance management focuses on
responding to the outcome measure and applying it to a specific function. Thus, performance management has an “overhead” function that redirects resources from “front-line service” development (Ljungholm 2015:191). In turn, dynamic, balanced performance measurement systems help to support decision-making processes by gathering, elaborating and analysing performance-related information (Taticchi, Tonelli & Cagnazzo 2010:4; Van Doreen 2015:10).

Performance measurement is considered to be an important aspect of performance management. According to Flyn (2012:118), public service institutions need to ensure that:

- money has been spent as agreed and in accordance with procedures;
- resources have been used efficiently; and
- resources have been used to achieve the intended results.

Performance measurement ensures that public service institutions are held accountable for the above mentioned three aspects. Within this context, performance information, which entails planning, budgeting, and implementation, monitoring and reporting, plays a pivotal role in daily management practices. The data and knowledge acquired through performance information plays a crucial role in the implementation of government’s service delivery mandate. Performance information provides a holistic picture of whether public institutions are accomplishing their aims and objectives. As it facilitates effective accountability, it enables legislators, members of the public and other interested parties to gain insight into specific issues, track progress and identify room for improvement (SA National Treasury 2007).

2.4 KEY ELEMENTS OF PERFORMANCE MANAGEMENT

Performance management helps to integrate corporate, team and individual objectives, to communicate these objectives to employees and to establish an institution’s core values. It is an effective tool to facilitate cultural and behavioural change. Furthermore, it helps empower employees by giving them more control over their work and performance development (Auriacombe 2019:6).
Performance management activities ensure that appropriate achievement-related intrinsic incentives and rewards are awarded. In this regard, it provides the required information to plan salary increases in relation to progress and potential and to determine reward levels in relation to job-related contributions.

According to Hellriegel et al. (2006 in Auriacombe 2017:30), it is important to recognise and reward employees who perform exceptionally well and whose skills are particularly valued. This will encourage them to maintain the high standard they have achieved. The most obvious way of achieving this is by awarding incremental increases in pay. Some bonuses may be calculated towards the end of each year based on a department-wide performance (Hellriegel et al. 2006 in Auriacombe 2017:30) Awards can include financial incentives like bonuses, recognition, status and opportunities for advancement (Armstrong & Murlis 1988 in Auriacombe 2019:22).

Auriacombe (2019:22) states that there are four performance management activities, namely performance reviews, performance counselling, potential reviews and career counselling. Initially, these activities aim to identify employee performance targets. Hereafter employees’ work performance is monitored on a continuous basis to ensure that they reach specific targets. Appropriate policies, such as participative management techniques, are used to manage employees’ performance (Auriacombe 2019:68). Managers are able to develop employees’ strengths and overcome weaknesses, by establishing a conducive work environment (Milkovich & Newman 1996 in Auriacombe 2019:23). This approach helps to ensure that employees reach their full potential.

According to Auriacombe (2019:70), PMSs should include the following elements in order to be effective:

- **“Update job descriptions”:** Job descriptions should clearly describe the employee’s current duties and performance expectations. Position descriptions should be specific, clearly defining the job, function, required skills, deadlines and goals and should deliver expectations for the employee’s relation with peers and customers.
• **Performance measures and standards:** Once job descriptions are in place, there is a need to establish performance standards that describe what constitutes ‘below-average’, “average” and ‘above-average’ performance. Also, it is important to understand how expected outcomes and the job description are going to be measured. This regards both objectives and subjective methods of assessment. In some situations, it is relatively easy to judge performance by looking at performance output statistics.

• **Evaluator training:** Managers should be provided with training on how to communicate and how to conduct fair, non-judgmental and consistent approval. An effective PMS will administrate training to managers before they conduct this fast review.

• **Guidelines for improvement:** Basic processes to cope with employee weaknesses and poor performance should be put in place. For example, guidelines must be online on how long it should take an employee to improve and what steps will be taken if the employee fails to show improvement.

• **Employee input:** Salute and evaluate staff suggestions for your performance management programme. Incorporate employee input into your programme or system as needed.

• **Compensation and rewards:** When employees perform well (above average/ exceptional), they should be compensated. Rewards boost morale, generate loyalty and streamline work performance. As such, it is important that employees are rewarded for their hard work on a consistent basis. A performance reward is a financial award granted to an employee in recognition of sustained performance that is significantly above expectations. The value of the bonus is calculated on the employee’s actual notch for level 1 to 10 and remuneration package for level 11 to 12, but not exceeding the maximum notch of the scale attached to the post”.
When implemented correctly, the above elements help to improve organisational performance. A PMS that includes planning, budgeting, implementation, monitoring and reporting also plays a key role in effective management. This system facilitates accountability among employees. Moreover, it allows managers to track progress, earmark and understand issues and identify areas for improvement.

Effective performance management provides an institution with the opportunity to refine and improve their development activities. However, Armstrong and Baron (2005:14) point out that performance management tools (performance measurement and appraisals) are often misunderstood. The authors explain that performance measurement and appraisals are sub-sections of the umbrella term ‘performance management’ which refers to organisational performance as a whole. To provide context, the link between key elements are discussed below.

2.4.1 Performance appraisals

The terms ‘performance management’ and ‘performance appraisals’ are sometimes used interchangeably. However, Armstrong and Baron (2005:14) argue that there is a clear distinction between the two. According to the authors, “Performance management is a comprehensive, continuous and flexible approach to the management of organisations, teams and individuals which involves the maximum of dialogue between those concerned. Performance appraisal is a more limited approach which involves managers making top-down assessments and rating the performance of their subordinates at an annual appraisal meeting” (Armstrong & Baron 2005:14).

The “idea of appraising performance has existed for many years and has revolved largely around an annual review of objectives between a manager and his/her subordinates” (Helqvist n.d.:4). However, such appraisals focused on historic performance and were restricted to management or supervisory groups. The concept of ‘performance management’, however, adopts a future-oriented strategic focus and is applied to all employees in an organisation in order to maximise their current and future potential (Atkinson & Shaw 2006:174).
With time, performance appraisals evolved into performance management as it is known today. Chubb, Reilly & Brown (2011:4) argue that the new approaches to performance management emerged due to certain shortcomings in performance appraisal systems. A key failure was that appraisals were expected to meet too many and often-conflicting objectives (Chubb et al. 2011:7; Armstrong & Baron 2005:14). From an evaluative perspective, appraisals excluded opportunities for conversations, which reduced their potential developmental and motivational impact.

The arrival of performance management signified a switch to a philosophy that engages employees in the process and drives performance towards key organisational goals (Armstrong & Baron 2005:14; Chubb et al. 2011:5). However, the criticism against performance appraisals that emerged towards the end of the 20th century did not denounce it from playing a significant role in performance management. Indeed, without performance appraisals, performance management would not have materialised as a strategic management tool.

Performance appraisals are seen as complementary to PMSs. Within this context, Selden and Sowa (2011:253) define the term ‘performance appraisal’ as “a formal and systematic process for reviewing performance and providing oral and written feedback to staff about performance at least annually”. The section below discusses key characteristics of performance appraisals within a modern organisational context.

Within a PMS context, it is important to distinguish between the terms ‘assessment’ and ‘appraisal’. The term ‘assessment’ refers to making a judgement about measuring a person’s performance against standards. In turn, the term ‘appraisal’ is the process of reviewing and making decisions about past performance before planning for the future. Both appraisals and assessments are central to performance management. They are best seen as a continuous process, where periodic appraisal interviews are characterised by particular prior thought and preparation (Auriacombe 2019:76).

Performance standards provide a benchmark against which to evaluate work performance. While job descriptions outline essential functions and tasks, performance standards define how well each function or task must be performed to
meet or exceed expectations (Baron & Kreps 1999 in Auriacombe 2019:38). Individual performance management helps ensure that employees know what is expected of them and whether they are reaching specific job-related targets. While performance is job specific, the following criteria take centre-stage (Auriacombe 2019:78):

- **“Priorities**: Are they doing the right things?
- **Quantity**: Are they doing enough?
- **Quality**: Are they doing it well enough?
- **Time**: Are they doing it at the right time?”

### 2.4.2 Training and development

Public service performance is based on the capacity to ensure “effective and efficient service delivery to enable a wide range of actors in society” (Bana 2009:65). Satisfactory “performance management is a critical element in workforce capacity-building and integral to an efficient and effective public sector” (Wauchope 2013).

A key aspect of any good PMS is training and development (O’Callaghan 2005:5). Institutions invest in training and development programmes “to improve employees’ performance…training can either focus on general awareness (for example, safety or sexual harassment) or on a specific job or task…supervisors should understand the key denominators of task performance in order to design job-related training… good supervisors are able to determine whether poor performance stems from an inability to perform difficult assigned tasks, the known ability of the employee, whether the employee is trying his/her best and the degree to which the employee’s performance improves over time” (O’Callaghan 2005:5).

### 2.4.3 Monitoring progress

Contract workers should be monitored on a continuous basis. Effective monitoring entails measuring performance continuously and providing on-going feedback to employees and work groups on their progress towards reaching their goals. Regulatory requirements for performance monitoring include conducting progress
reviews with employees, where performance is compared against their KPAs and standards. On-going monitoring provides the opportunity to determine whether employees are meeting predetermined standards and to make changes to unrealistic or problematic standards. Continuous monitoring helps identify unacceptable performance at any point during the appraisal period. This provides scope to address issues rather than to wait until the end of the period when rating-levels are assigned (Auriacombe 2019:42).

2.4.4 Identifying developmental needs

To ensure a well capacitated and skilled workforce, it is important to evaluate and address employees’ development needs. Performance management processes provide an excellent opportunity to identify developmental needs. Within this context ‘development’ refers to increasing an employee’s performance capacity through training, assigning new tasks that introduce new skills or more responsibility, improving work processes, etc. (Baron & Kreps 1999 in Auriacombe 2019:52).

Planning and monitoring exercises identify performance deficiencies, so that they can be addressed in a timely manner. Areas for improving good performance are also highlighted, and action can be taken to help successful employees to improve even further (Auriacombe 2019:53). As such, public service employees should have access to training and developmental opportunities, as it encourages good performance, strengthens job-related skills and competencies and supports changes in the workplace (e.g., the introduction of new technology and restructuring exercises) (Auriacombe 2019:52).

2.5 PERFORMANCE MANAGEMENT IN THE SOUTH AFRICAN PUBLIC SERVICE

Stone (2008:297) observes performance management from a ‘3 business’ perspective. The author argues that, as that the business world is highly competitive, institutions’ success relies heavily on improving performance. Notably, Stone (2008:297) believes that both the individual and the institution are essential for gaining such a competitive advantage. Likewise, performance management and employee development play a key role in bolstering the effectiveness of government
institutions. In line with this, Stone (2008:298) outlines the following benefits of performance management practices within public institutions:

- Evaluating organisational and employee performance gives managers the opportunity to determine whether strategic business objectives are valid, are being communicated successfully and are being achieved throughout the organisation.
- It improves bottom-line results by promoting positive employee performance.
- It provides a strategic link by auditing the institution’s employees in terms of their skills, abilities, knowledge and behaviour.
- It generates information on whether an institution’s HR component satisfies present and future business strategies.
- It provides management with feedback on whether employee behaviour is linked to strategic goals.

As a developing democracy, South Africa grapples with a challenge of meeting citizens’ needs. Cognisant of this fact, the South African Government has recently stated its renewed focus on economic transformation. However, this goal can only be achieved if performance management is implemented correctly and strategic management is used as tool to provide quality service delivery.

The Commonwealth of Nations (2009:11) states that the South African Government views performance as an instrument for service delivery and to achieve national development priorities. The government has reiterated its commitment to “developing a skilled and well-motivated public service that is proud of what it is does and receives full recognition for delivering better-quality services” (Minaar 2006:117).

performance management applications provide public institutions with a strategic direction. They create a platform to align structures, systems and processes with the institution’s strategic framework, as outlined during the planning phase of the integrated process (Minaar 2006:177).

The DPME and the DPSA view performance and performance-based monitoring and evaluation (M&E) in a serious light. In a similar vein, the DPSA (2008) regards performance management as an indispensable component in planning, management and development. Therefore, both public institutions argue that the implementation of performance management cannot be overlooked. In this regard, the DPSA (2008) identifies three benefits of performance management, namely:

• “it influences employees’ behaviour in a positive way, which contributes to achieving strategic goals;

• it determines the correct activities, evaluation methods and recognition for completing tasks/duties successfully to enhance efficiency and effectiveness; and

• it improves specific results (departments, teams and individuals) “by understanding and managing performance within an agreed framework of planned goals, objectives, indicators and support incentives” (DPSA 2008).

According to a report issued by the DPSA (2007), the argument to establish a single public service in post-apartheid South Africa has led to a number of performance-constraining factors. The report argues that some of the constraints and opportunities include the management of the decentralised HRM framework. A general unwillingness to apply strict and fair performance management is cited as a key limitation within the public sector.

The South African Public Service Commission (PSC) is mindful of the inconsistencies that overshadow the implementation of a PMS within the public service. During a round-table discussion, the PSC (2014:v) concluded that if performance management is applied correctly, employees would not only benefit from performance rewards but also from a personal development perspective. In this
regard, the PSC (2014:v) argues that development- and improvement-oriented HRM helps ensure that services are delivered effectively, efficiently and economically.

Performance management has the capacity to motivate employees through incentives (Grobler, Wärnch, Carrel, Elbert, & Hatfield 2011:293). As a result, they work harder to reach organisational goals and implement corporate strategies. However, performance management’s incentive component cannot be regarded as the sole purpose for its existence. Performance management focuses on implementing quality management programmes and assessment tools (performance appraisal, reward systems, job design and leadership and training) that are geared towards attaining performance targets (Grobler et al. 2011:293).

According to the Human Resource Development Strategy for South Africa (2010-2030) (2009:7), HRD within the public service focuses on maximising productivity. Access to formal skills and knowledge development provides employees with the opportunity to reach their full potential, which, in turn, boosts organisational efficiency. In line with this, former Minister of Public Service and Administration, Geraldine Frazer-Moleketsi (2002-2006), stated that investing in training and development would ensure that the public service delivers on its 21st-century mandate of providing effective and efficient services to all stakeholders.

According to Manuel (2013), the public service holds the key to transformation. The author argues that “unless a professional public service is rewarded for its competence and commitment to the Constitution, 1996, we do not stand any chance of transforming South Africa” (Manuel 2013). As a key aspect of performance management, performance analysis should enable public institutions to drive transformation through improved service delivery.

The South African Government has demonstrated its commitment to performance management by reiterating the need to evaluate government interventions. Government interventions are evaluated according to ‘evaluation for learning’ principles. Through HRM practices such as performance management, public institutions are able to identify successes and failures and use this information to create more successful outcomes. Through performance management, those in charge of service delivery initiatives are held accountable for output. As such,
performance management provides an opportunity to generate knowledge about intervention policies and programmes. In turn, evaluation outcomes inform decisions by senior managers and the government in general (Auriacombe 2019:115).

Performance management also has a legal dimension. The LRA of 1995 dictates stringent guidelines to recruitment and selection practices, possible discrimination and terminating an employee’s services. Where an employee’s services are terminated due to poor performance, management must ensure that there is no legal recourse to challenge the decision. Where there is no formally documented evidence of performance tracking, the employee can claim that there is being discriminated against him/her (based on age, sex, race, etc.). Alternatively, the employee can argue that he/she was not informed of poor performance and therefore there was no opportunity to show improvement. A well-constructed PMS includes documenting good and poor performance in a timely manner. It must track how problem areas were identified and communicated to the employee, and list all the steps taken to remedy the situation (Auriacombe 2019:86).

2.6 THE STATUTORY AND REGULATORY FRAMEWORK FOR PERFORMANCE MANAGEMENT

Performance management in the South African Public Service is established within a clearly defined statutory and regulatory framework. Since 1994, several pieces of legislation and policies on performance management have been ratified. These policy and legislative documents drive HRM and HRD practices in the public service (Pillay 2009:35).

2.6.1 Statutory framework

South Africa’s statutory framework reflects the Legislature’s broad intention to recognise citizens’ needs. Within the current context, it aims to ensure that the public service’s PMS is in line with various statutory provisions in order to address constitutional imperatives.
2.6.1.1 The Constitution of the Republic of South Africa, 1996

The Constitution of the Republic of South Africa, 1996 is the supreme law under which the government operates. Constitutional and other provisions play a key role in HRM in the public sector. Obligations imposed by the Constitution, 1996 must be fulfilled and any conduct or actions in conflict with it are invalid. The adoption of the Constitution, 1996 introduced major changes in the public and the private sectors. Not only were apartheid policies amended or superseded by new policies, the whole social fabric of the country was transformed. In addition to the Preamble to the Constitution, 1996, the following chapters and sections relate to HRM:

- Section 6 – Language;
- Section 9 – Equality;
- Section 23 – Fair labour practice;
- Section 33 – Administrative action;
- Chapter 7 – Local government;
- Chapter 10 – Public administration
- Chapter 10, Section 195(1) – Basic values and principles governing public administration; and
- Schedules 1 and 2 to the Municipal Systems Act, 2000.

Chapter 10 of the Constitution, 1996 forms the basis of performance management. Relevant as it may be, it is not specific about performance management. However, Chapter 10, Section 195(1) describes the calibre of human resource (people) required to serve in the public sector. For example, they must be able uphold and maintain a high standard of professional ethics, as well as be development oriented and accountable. Furthermore, Chapter 10, Section 195(1) highlights that human potential within the public sector must be cultivated and maximised (RSA 2005:104). The RDP White Paper, 1994 addresses all the basic needs that are enshrined in the
country’s Bill of Rights. Performance management is therefore a service delivery tool to meet the needs of the people, as helps cultivate a dedicated public service.

2.6.1.2 Public Service Act, 1994

Three important aspects relating to performance management emerge from Chapter 1 of the Public Service Act, 1994, namely training and development, employee PMS, and managing poor performance. The Public Service Act, 1994 focuses on all employees serving in the public service. However, in terms of the Public Service Regulations, 2001, various departments are at liberty to develop their own performance management frameworks. For example, the DBE has developed the PMDS for office-based educators (see Chapter Four).

2.6.1.3 Employment Equity Act, 1995

The Act aims to eradicate discriminating laws and practices, disparities in employment, occupation and income within the national labour market. The Preamble to the Employment Equity Act, 1995 states that, “as a result of apartheid and other discriminatory laws and practices, there are disparities in employment, occupation and income within the national labour market; and that those disparities create such pronounced disadvantages for certain categories of people that they cannot be redressed simply by repealing discriminatory laws,”. In line with this, the Act aims:

- “to promote the constitutional right of equality and the exercise of true democracy;

- imminent unfair discrimination in employment; ensure the implementation of employment equity to redress the effects of discrimination;

- achieve a diverse workforce broadly representative of our people; promote economic development and efficiency in the workforce; and
• give effect to the obligations of the Republic as a member of the International Labour Organisation (ILO)” (Preamble to the Employment Equity Act 55, 1995).

2.6.1.4 Labour Relations Act, 1995

The LRA of 1995 gives effect to Section 27 of the Constitution, 1996, In this regard, the Act was ratified to:

• “regulate the organisational rights of trade unions;

• promote and facilitate collective bargaining at the workplace and at sectoral level;

• regulate the right to strike and the recourse to lock-out in conformity with the Constitution; promote employee participation in decision-making through the establishment of workplace forums;

• provide simple procedures for the resolution of labour disputes through statutory conciliation, mediation and arbitration (for which purpose the Commission for Conciliation, Mediation and Arbitration (CCMA) is established), and through independent alternative dispute resolution services accredited for that purpose;

• establish the Labour Court and Labour Appeal Court as superior courts, with exclusive jurisdiction to decide matters arising from the Act;

• provide for a simplified procedure for the registration of trade unions and employers’ organisations, and to provide for their regulation to ensure democratic practices and proper financial control;

• give effect to the public international law obligations of the Republic relating to labour relations;

• amend and repeal certain laws relating to labour relations; and to

• provide for incidental matters” (LRA of 1995).
South Africa must adhere to international practices regarding labour legislation and is also required to give effect to obligations imposed by the International Labour Organisation (ILO), as outlined in Section 1(1)(b) of the LRA of 1995. Notably, the Act does not apply to members of the South African National Defence Force (SANDF), National Intelligence Agency (NIA) and the South African Secret Service (SSA), as stated in Section 2 of the Act (LRA of 1995).

In accordance with the constitutional requirements, this Act provides a legal basis to guarantee employees’ right to freedom of association (Section 4) and prohibits discrimination against an employee for exercising any right conferred by this Act (Section 5). Simultaneously, it affords employers the right to freedom of association (Section 6) (LRA of 1995).

2.6.1.5 Basic Conditions of Employment Act, 1997

The Basic Conditions of Employment Act, 1997 gives effect to Section 23(1) of the Bill of Rights. The Act gives everyone the right to fair labour practices and is designed to comply with ILO standards. The Act applies to all employees and employers except the SANDF, NIA and the SSA, as outlined in Section 3 of the Basic Conditions of Employment Act 75, 1997. The following sections and chapters of the Basic Conditions of Employment Act of 1997 play a key role from a performance management perspective:

- **Contracts of employment:** A “basic condition of employment’ constitutes a term of any contract of employment with particular exceptions, as per Section 4 of the Act. The Act takes precedence over any agreement, whether entered into before or after it was ratified”.

- **Regulations on working hours:** “Every employer (in) South Africa must regulate the working time of each employee; in accordance with the provisions of any Act governing occupational health and safety...with due regard to the Code of Good Practice on the Regulation of Working Time issued under Section 87(1)(a) of the Act”.


The Act defines hours of work (Section 9), overtime (Section 10), a compressed working week (up to 12 hours per day but with a maximum of 45 ordinary hours per week), average hours of work (Section 12), meal intervals, rest periods (Section 15), pay for working on Sundays (Section 16); working after-hours (Section 17), public holidays (Section 18) and leave (Chapter 3).

These aspects do not apply to senior managerial employees, sales staff visiting customers’ premises, employees who work less than 24 hours a month, work that needs to be done urgently and any category of employees earning more than a formally specified amount, as determined by the Minister of Labour.

• **Particulars of employment and remuneration:** Where applicable, when the employee commences employment, an employer must supply particulars relating to hours of work, rate of pay, frequency of remuneration, leave and related conditions of service in writing, as per Section 29 of the Act. Employers are mandated in terms of Section 30 to inform employees of their rights under the Act.

• **Termination of employment:** Chapter 5 of the Act prescribes the procedures and conditions for the termination of employment (with the exception of persons working less than 24 hours a month).

### 2.6.1.6 Skills Development Act, 1998 and Skills Development Levies Act, 1999

The Skills Development Act, 1998 provides “the institutional framework to devise and implement national, sector and workplace strategies to improve the skills of the South African workforce”. The legislation aims to:

- “develop the skills of the South African workforce (improving quality of life, productivity and competitiveness, to promote self-employment and to improve the delivery of social services); increase levels of investment in education and training;

- encourage employers to use the workplace as an active learning environment;
• provide opportunities to acquire new skills and new entrants to the labour market with experience;

• encourage participation in learnership and training programmes; and

• improve employment prospects of previously disadvantaged persons” (CCMA Skills Development in the Workplace 2002).

As stated above, managers have an obligation to promote education and training among their subordinates. In addition, they need to focus on self-improvement through skills development. Training and education not only focus on existing jobs and job descriptions, but also on future needs and future positions. As such, training and education are important prerequisites for succession planning.

2.6.1.7 The Employment of Educators Act 76, 1998

This Act aims “to provide for the employment of educators by the State, for the regulation of the conditions of service, discipline, retirement and discharge of educators and for matters connected therewith” (Employment of Educators Act 76, 1998). Chapter 3 of the Act, which is subject to the Labour Relations Act, 1995, governs the appointments, promotions and transfers of any educator. Chapter 5 of the Act governs incapacity and misconduct among educators, while Chapter 7 focuses on performance relating to other aspects of educators’ work.

2.6.1.8 The Public Finance Management Act, 1999

In line with this, PFMA, 1999 and the MTSF are key accountability frameworks that regulates performance within the South African public sector. Chapter 5, Section 45 of the PFMA, 1999 prescribes the required conduct of officials in public institutions regarding state resources to improve public service performance. It stipulates that officials are responsible for the effective, efficient, economical and transparent use of financial and other resources, within their area of responsibility.

2.6.2 Regulatory framework

Ministers are mandated to develop regulations to give effect to particular legislation to ensure that there is proper guidance and effective implementation. The regulatory
framework is a simplified version of the legislation, which provides specific details and covers all areas intended for implementation. Various regulatory documents have a bearing on HRM, in general, and performance management, in particular. Within this context, the following regulatory documents ensure that performance management achieves its statutory obligations.

2.6.2.1 The RDP White Paper, 1994

The RDP White Paper was first published in 1994 by the African National Congress (ANC) as a policy working document. The policy aimed to create a roadmap for transformation in South Africa. The RDP White Paper (1994:9) highlighted the crucial role service delivery played in rebuilding a democratic South Africa. HR became important in driving the development agenda. It became evident that training and development was needed to ensure that HR could implement development policies. In many ways, the RDP White Paper, 1994 paved the way for establishing a PMS in the public sector.

The RDP White Paper of 1994 still remains relevant today. Countrywide service delivery protests has made it clear that the goals outlined in the RDP White Paper, 1994 is far from being achieved, as millions of South Africans continue to live in abject poverty without access to basic services such as water and sanitation, housing, primary healthcare and education.


The White Paper on Human Resource Management in the Public Service, 1997 highlights that a disciplined public service must be able carry out its duties efficiently and effectively. Notably, the performance of individual employees has a direct impact on organisational efficiency. It is therefore important to manage the performance of each employee.

The White Paper (RSA 1997:42) stipulates that all employees within the public service must undergo an annual performance assessment on agreed objectives with the employer. In this regard, performance management implies identifying strengths
and weakness, where after good performance is rewarded whilst poor performance is managed and improved.

2.6.2.3 Public Service Regulations, 2001

The Public Service Regulations, 2001 focuses on correcting the imbalances of the past, as mandated by the RDP White Paper, 1994 and the Constitution, 1996. Van der Waldt (2004:39) argues that the imbalances of the past have compromised service delivery to many of impoverished communities and that performance management is established to enhance service delivery in public institutions.

All government departments in South Africa are mandated by the Public Service Regulations, 2001 to manage performance in a professional manner. As such, the Regulations’ key focus is on to adding value to the organisational effectiveness and efficiency of public institutions. Within this framework, there is a focus on ‘consultation’, ‘support’ and ‘non-discriminatory action’ as behavioural aspects of performance management. These attributes help create an efficient and effective work environment and support appropriate accountability for using resources and achieving results.

Within any organisational context, the employee and employer must foster a good relationship. The employer’s expectations of the employee should be well-articulated and there must be a mutual agreement on how tasks should be executed.

2.6.2.4 The Medium-Term Strategic Framework

The MTSF (2009: Internet Source) is government’s statement of intent with regard to economic development. The overall objective of the Framework is to create and implement a comprehensive development strategy to meet the development needs of all South Africans. The MTSF base document is meant to guide planning and resource allocation across all spheres of government. National and provincial departments, in particular, need to consider medium-term imperatives when developing their five-year strategic plans and budget requirements. Likewise, local government (municipalities) are required to align their integrated development plans (IDPs) to national medium-term priorities.
The MTSF has outlined the following 10 priority areas that aim to give effect to these strategic objectives (MTSF: A Framework to Guide Government’s Programme 2009 in Auriacombe 2019: 146):

- **Strategic Priority 1:** Speeding up growth and transforming the economy to create decent work and sustainable livelihoods.

- **Strategic Priority 2:** (A) massive programme to build economic and social infrastructure.

- **Strategic Priority 3:** Comprehensive rural development strategy linked to land and agrarian reform and food security.

- **Strategic Priority 4:** Strengthen the skills and human resource base.

- **Strategic Priority 5:** Improve the health profile of all South Africans.

- **Strategic Priority 6:** Intensify the fight against crime and corruption.

- **Strategic Priority 7:** Build cohesive, caring and sustainable communities.

- **Strategic Priority 8:** Pursuing African advancement and enhanced international cooperation.

- **Strategic Priority 9:** Sustainable resource management and use.

- **Strategic Priority 10:** Building a developmental state, including improvement of public services and strengthening democratic institutions”.

In addition, the MTSF commits government and its development partners to a programme of gender equality, in seeking to ensure that the “conditions have been created for the full participation of women in all critical areas of human endeavour” (MTSF: A Framework to Guide Government’s Programme 2009: Internet Source).

The MTSF provides a critical interface between South Africa’s NDP strategies and the MDGs. At the strategy level, the eight MDGs are thus integral to the South African government’s development priorities.
2.6.2.5 The National Development Plan: Vision 2030

The NDP, which was officially launched on 19 February 2013, offers a long-term perspective on South Africa’s development. It defines a desired destination and identifies the role different sectors of society need to play to help reach that goal. As the name suggests, the NDP aims to eliminate poverty and reduce inequality by 2030. According to the plan, “South Africa can realise these goals by drawing on the energies of its people, growing an inclusive economy, building capabilities, enhancing the capacity of the state, as well as promoting leadership and partnerships throughout society” (National Planning Commission (NPC) 2012).

Former Finance Minister, Trevor Manuel, (in Auriacombe 2019:114) highlighted the following processes with regards to implementing plan:

- “The NDP and its proposals will need to be implemented in the right order over the next 17 years. Three phases have been identified.

- Government has already started a process to align the long-term plans of departments with the NDP and to identify areas where policy change is required to ensure consistency and coherence.

- The NDP is a plan for the whole country. Government will engage with all sectors to understand how they are contributing to implementation and particularly to identify any obstacles to them fulfilling their role effectively.

- The plan will shape budget allocation over the next 17 years.

- Planning and implementation should be informed by evidence-based M&E.

- The president and deputy-president will champion the plan within Cabinet, in government and throughout the country. Premiers and mayors will need to be visible and active champions of the plan, while their offices should be catalytic agencies to drive implementation at provincial and municipal levels.

- The plan identifies the task of improving the quality of public services as critical to achieving transformation. This will require provinces to focus on identifying and overcoming the obstacles to achieving improved outcomes, including the need to strengthen local government’s ability to fulfil its developmental role”.
The NDP (NDP Executive Summary 2012 in Auriacombe 2019:14) “Envisions a South Africa where everyone feels free yet bonded to others; where everyone embraces their full potential; a country where opportunity is determined not by birth, but by ability, education and hard work. Realising such a society will require transformation of the economy and focused efforts to build the country's capabilities. To eliminate poverty and reduce inequality, the economy must grow faster and in ways that benefit all South Africans. In particular, young people deserve better educational and economic opportunities and focused efforts are required to eliminate gender inequality. Promoting gender equality and greater opportunities for young people are integrated themes that run throughout this plan”.

Given the complexity of national development, the plan outlines six interlinked priorities (NDP Executive Summary 2012 in Auriacombe 2019:16):

• “Uniting all South Africans around a common programme to achieve prosperity and equity.
• Promoting active citizenry to strengthen development, democracy and accountability.
• Bringing about faster economic growth, more investment and greater labour absorption.
• Focusing on key capabilities of people and the state.
• Building a capable and developmental state.
• Encouraging strong leadership throughout society to work together to solve problems”.

The NDP provides a broad strategic framework to guide key choices and actions. In line with this, it emphasises three key policy and strategic directions (threads), namely:

• A developmental policy thread in line with the ideas of a developmental state and environmental protection (natural resources as economic commodity).
• **An economic growth policy thread** that is directed at the first economy.

• **An interventionist policy thread** aimed at government interventions in the economy to ensure that the private sector and business community contribute to the country’s developmental vision (NDP Executive Summary 2012).

### 2.7 CONCLUSION

Chapter Two of this study conceptualised the terms 'performance' and 'performance management' in terms of various definitions and issues that gave impetus to the phenomenon. The relationship between ‘performance measurement’ and ‘performance management’ was also explained. Hereafter, the discussion shifted to the key elements of performance management, namely performance appraisals, training and development, monitoring progress, identifying development needs and rewarding satisfactory performance.

The chapter then proceeded to discuss the importance of performance management within the South African Public Service. The statutory and regulatory framework for HRM, in general, and performance management, in particular, were contextualised. In terms of the statutory framework for PMS, attention was paid to the Constitution, 1996; the Public Service Act, 1994; the LRA of 1995; the Basic Conditions of Employment Act 75, 1997; the Skills Development Act, 1998; the Skills Development Levies Act, 1999; the Employment of Educators Act, 1998; and the PFMA, 1999. With regard to the regulatory framework for PMS, the RDP White Paper, 1994; the Public Service Regulations, 2001, the MTSF, 1999; and the NDP: Vision 2030 came under the spotlight.

Internationally, performance management has evolved over time. The chapter highlighted that it was first used in the private sector (particularly in business), where after it was adopted by the public sector. Current literature suggests that performance management has contributed towards both political and economic transformation throughout the world. The OECD has advocated that member states adopt performance management. In this regard, the UK and the US are success stories with regard to the implementation of performance management. Based on its success, this practice has been adopted in post-independence countries, especially
in Africa. In its quest for political and economic transformation, South Africa also adopted performance management in 2002.

Current literature highlights the importance of evaluating performance in the public service. It also points to the role respective departments by applying performance management practices. This will ensure that employees benefit from training, development and career planning. In line with this, Diogo (n.d.:283) states that performance management is a critical force in transforming the public administration and the public service. Thus, it must be nurtured, taught, disseminated as a culture and should be assessed, appraised and emulated.
CHAPTER THREE

CONTEXTUALISING PERSPECTIVES ON THE DEVELOPMENT OF PERFORMANCE MANAGEMENT IN SOUTH AFRICA AND SELECTED INTERNATIONAL BEST PRACTICES

3.1 INTRODUCTION

In Chapter One of the study, two research objectives were posed – namely, ‘To determine how the phenomenon of performance management developed in South Africa and to provide examples of international best practices, theories, tools and models of performance management’.

Chapter Three provides an historical overview of performance management that includes a global perspective on its development, the rise of New Public Management (NPM) and the various milestones in terms of performance management in South Africa. It then proceeds to discuss international best practices of performance management, with the United States, the United Kingdom, China and Brazil comprising the topics of discussion in this regard.

The chapter also discusses international theories, tools and models of performance management, including the balanced scorecard, Total Quality Management (TQM), Six Sigma, the European Foundation for Quality Management (EFQM) and performance management in terms of the Five-Factor Performance Management Model.

3.2 HISTORICAL OVERVIEW OF PERFORMANCE MANAGEMENT

The sections below outline on how the concept ‘performance management’ developed locally and internationally.

3.2.1 The development of performance management: A global perspective

“The concept of performance management has been one of the most important and positive developments within the sphere of HRM in the 1980s” (Beer and Ruh 1976). Its recognition “grew from the realisation that a more continuous and integrated
approach was needed to manage and reward performance” (President’s Office - Public Service Management 2010).

At the start of the 21st century, “performance management had become central to public management reforms… the rise of the concept was necessitated by the shift in focus from rules and input regulation to goal-setting and the use of performance data. This shift was seen as an attempt to improve public sector performance by adopting the management tools of the private sector” (Andersen 2013:35).

The US and the UK have been instrumental in the progression of performance management as a concept. The concept ‘performance appraisal’ is an important milestone in the development of performance management as it is known today. The 1950s and 1960s were significant for performance management in Europe, as roughly half to two-thirds of major companies had some form of performance appraisal in place. The US in the 1970s and the UK in the 1980s-1990s saw these forms of appraisals culminate in government legislation. PMSs emerged as powerful tools for change, and they were used to implement change in public sector ethos and culture (Armstrong 2009:11 and Joshi 2014:01).

Adejoke and Bayat (2013:10) describe performance management as an aspect of management that uses technology to manage both results and behaviour. As previously mentioned, the term itself originated in the UK in 1976 and was instantly put into practice. In its original form, the main emphasis of performance management was placed on financial outcomes and incomes (Nesterak 2013:70). The main reason “for the development of performance management was that managers realised that a more continuous and integrated approach was needed to manage and reward performance… moreover, existing performance-related pay and appraisal systems had failed to deliver the results expected by management” (Qureshi, Shahjehan, Rehman and Afsar 2010:1856). In the modern world, performance management signifies a global revolution in the field of workplace learning. Alongside globalisation, it is one of the major international trends in HRD in the 21st century (Meyer 2007:2).

Based on the existing literature, it can be concluded that performance management has a formidable history in the field of public management. It has evolved
internationally over time. Even though the extant literature suggests that performance management has been a stronghold of the private sector for quite some time, it has also been an international phenomenon in the public sector in countries such as the US and the UK. In other first-world countries, the evolution of performance management intensified towards the end of the twentieth century. It has since escalated in continents such as Asia, Australia and South America. Performance management has proven to be an important tool for service delivery in the public sector, and with an international track record, it has managed to benefit countries post-independence, especially in the African continent, where social economic freedom was a necessary condition. For many post-independent countries, corruption in the public service became rife, thus leading to the use of performance management as an important tool to eradicate corruption and improve the lives of citizens.

3.2.2 The rise of New Public Management

Several factors compelled the Organisation for Economic Cooperation and Development (OECD) and the European Union (EU) to renew their focus on performance, leading to the emergence of the new paradigm known as NPM. According to Verbeeten (2008:427), this paradigm is also referred to as ‘reinventing government’ (2008:427). The new paradigm was prompted by the following factors: “First was the pervasive dissatisfaction with the unresponsiveness of government employees to the public…second was the backlash of right-wing governments in developed countries (especially Margaret Thatcher’s in the UK and Ronald Regan’s in the US) in the early 1980s against the growing size of the government relative to the economy, thus putting pressure on public finances…third was the promotion of these principles by international financial institutions and donor organisations (who were owned and managed by developed countries) as part of the financial assistance they offered developing countries” (Commonwealth Secretariat 2009:65).

Although there have been different opinions regarding the precise nature of NPM since then, its classic formulation holds that it is based on seven principles
(McLaughlin, Osborne and Ferlie 2002:9), which are:

- “a focus on hands-on and entrepreneurial management as opposed to the traditional bureaucratic focus of the public administrator;
- explicit standards and measures of performance;
- an emphasis on output controls (especially financial controls);
- an emphasis on the decentralisation of public services, with services only provided where needed;
- the promotion of competition in the provision of public services (e.g. the introduction of market mechanisms and ‘contract culture’);
- an emphasis on a private sector style of management (e.g. greater service, more of a focus on clients, more partnerships); and
- the promotion of discipline and parsimony in resource allocation”.

Pollitt (1995:133) states that “NPM as a ‘shopping basket’ for public managers who wish to modernise the public sector. He states that this ‘basket’ include issues such as:

- cost-cutting and greater transparency in resource allocation; and
- the disaggregation of traditional bureaucratic organisations into separate agencies” (Pollitt 1995:133).

However, no matter how inevitable change was, it was not embraced as warmly in Europe as it was originally hoped. Though performance management was a positive reform in the field of HRM during the twentieth century, it was severely interrupted by the rise of opposition to the development of the concept in a number of countries throughout Europe, thus causing an upset in its development. Notwithstanding resistance from Europe, performance management continued to manifest itself as a positive reform for the improvement of performance in the public sector (Commonwealth Secretariat 2009:65).
According to the Commonwealth Secretariat (2009:65), “by the turn of the century, even though the limits of NPM were already fairly known, a number of additional factors continued to ensure a focus on performance management in the public sector… as a result, institutions such as the OECD and the EU urged their members and those aspiring to join them to adopt what was to be known as strategic performance management in order to raise productivity levels and integrate previous measures of administrative reform”.

3.2.3 The development of performance management in South Africa

South Africa is emerging from an era that was characterised by racial laws that perpetuated white domination and the marginalisation of the black population. Today, as a result of these racial laws, a legacy of significant poverty exists for the majority of people in South Africa. The state is therefore mindful of the enormous task of eliminating poverty amongst poor South Africans. The impact of poverty in South Africa is presented in the RDP White Paper, 1994. The White Paper states that, to eradicate poverty and “to improve the standard of living of the population, the public service has to focus on issues of performance, performance management and productivity” (Matshiqi 2007:6 and Van der Waldt 2004:6).

However, Van der Waldt (2004:6) argues that there is a vast body of literature which seems to suggest that performance is merely productivity. He cautions, however, that performance is broader than some narrow meanings of productivity that are limited to efficiency and effectiveness. Furthermore, the author claims that performance depends entirely on the implementation of government strategies (Van der Waldt 2004:6).

Against this background, the relationship between performance, performance management and productivity cannot be over-emphasised. The South African Public Service, which is largely characterised by government departments, faces the daunting task of ensuring it offers quality services to all citizens. Although government departments include other institutions, the government is solely dependent on people to deliver services to its citizens. At this point, it is important to include a definition of ‘performance’ to establish its association with ‘performance management’ and ‘productivity’ within the sphere of employee management.
Matshiqi (2007:6) state that the “role and purpose of performance management consolidates the South African perspective and context of performance management”. This consolidation suggests that the RDP, which was adopted in 1994, was the point of departure for performance management. The RDP provided a roadmap to realise the rebirth of South Africa after it became a democratic society in 1994. At the height of South Africa’s socio-political transformation, the main aim was to achieve the development goals enshrined in the RDP White Paper. The White Paper was intended to provide quality government services to the wider population.

The development of performance management in South Africa’s cannot be complete without mentioning the role of apartheid. During this “era, the South African Public Service became isolated from, and out of touch with, international developments in public sector reform… in 1994, following the end of apartheid, South Africa had to adjust to the context of public sector reform…this was largely influenced by global economic factors that are important background variables when considering administrative reform” (Cameron 2009:2).

Due to these factors, performance management featured strongly as one of the main public sector reforms of South Africa’s Public Service. As the heartbeat of public service, and it became important for South Africa to transform its public sector by introducing various management practices, including performance management.

In view of the democratisation of South Africa in 1994, the newly established Government of National Unity had inherited a public service with several uncoordinated structures that had been put in place to enforce apartheid objectives. The prevailing environment had dictated that each service devised its own system for assessing performance at an institutional and individual level. The post-apartheid public service was restructured to form a coherent instrument to steer development and improve public service delivery.

Given the changed circumstances, there was also a need for a single coherent assessment of performance (Mutahaba 2011:58). Mutahaba (2011:58) states that the newly unified public service was confronted with numerous challenges that had a devastating effect on the quality and standard of services in many public institutions (2011:58). One such challenge was the decline in the standard and quality of
services offered by these institutions. The situation necessitated serious improvement measures. One such measure was the introduction of PMS in 1998.


According to Minaar (2006:178), strategic planning is contextualised within the theory of clear strategic management. The underlying philosophy of strategic management “is that strategic management provides the instruments used to connect an organisation with its clients in an integrated planning exercise...this creates an open response system that incorporates the actual needs of the community through planning methodologies...performance management provides the methodology required to move the organisation towards delivering the objectives and services it had identified during the strategic planning phase of the process” (Minaar 2006:178).

In South Africa, PMSs have two objectives. The first objective aims to ensure that the development outcomes articulated in the MTSF: Vision 2025 are being actioned by all stakeholders. “The second objective relates to the performance management of individual public servants and is linked to HRM” (Mutahaba 2011:59).

The extant literature highlights that prior to the establishment of PMSs, South Africa had relied on performance appraisals. This notion is supported by Kanyane and Mabelane (2009:58), who state that performance management represents a radical shift from performance appraisals – a shift that is necessitated by a vacuum that exists in the appraisal system between individual performance and organisational performance. Toppo and Prusty (2012:4) refer to the vacuum highlighted by Kanyane and Mabelane (2009:58) as “a missing link” that could have led to the development of performance management in South Africa.
A distinguishing feature of a PMS relative to performance appraisals is that the former is an ongoing process, whereas the latter is conducted at intervals (e.g., annually). In comparison to performance appraisals, continuous coaching is an integral aspect of the PMS. ‘Performance appraisal’ refers to the period in which the overall progress that an individual or team has made as a result of being coached is presented and summarised. During this time, new goals are also agreed upon and set (Latham, Sulsky and Macdonald 2009 in Auriacombe 2019:133).

In light of the above, a radical shift was necessitated by certain failures in the appraisal system itself. As stated by Flyn (2012:12), performance appraisals had failed quite often. There are many reasons for these failures, one being that managers approached discussions on employee performance as an annual event. Furthermore, the literature points to the fact that appraisal schemes in the 1930s were incentive-linked, and incentives were promoted (Ward 2005:2). According to Michael (2014 in Auriacombe 2019:111), “the concept of performance management is often linked to the performance reward system… it is also known that financial incentives tied to performance appraisal also impact on the effectiveness of appraisal systems and the performance of institutions”.

Even though performance appraisal systems have some shortcomings, as indicated above, it remains a key component of performance management: Without it, performance management is incomplete. Both concepts play a key role as far as the training and development of employees is concerned (Sarwar, Awan and Nazir 2014:83 and Noe, Hollenbeck, Gerhart and Wright 2009:218). It can be deduced, therefore, that performance management in South Africa did not emerge to nullify the performance appraisal system but rather to strengthen it as an integral aspect of a PMS.

Grobler, Wärnch, Carrel, Elbert and Hatfield (2011:258) argue that even before the development of performance appraisals, South Africa had gradually drifted away from what was previously known as ‘performance assessment’, a method that later developed into what became known as TQM. According to Grobler et al. (2011:258), TQM programmes included various management tools, such as performance appraisals, to ensure that performance goals were achieved.
In 1997, the South African Green Paper on a New Employment Policy for a New Public Service was published. The Paper stated that performance management would “provide a connection between individual performance, attitudes and behaviour and the overall objectives, culture and values of the public service…the main aim was to foster productivity and efficiency by maximising and maintaining individual and team performance at all levels throughout the public sector” (SA 1997). That same year, a Presidential Commission was established to examine the existing performance management and appraisal system, as enshrined “in the Public Service Staff Code…the system involved the quarterly recording of critical incidents and annual appraisals…in the past, the system was based on a system of merit awards for promotion purposes…at the higher level of management, the grading of critical incident reports was completed by the employees themselves” (Presidential Commission 1998 in Auriacombe 2019:25).

According to the Presidential Commission (1998 in Auriacombe 2019:25), several factors highlighted that the system was unreliable and ineffective in assessing performance because:

- “it was not based on agreed and measurable performance criteria linked to service outcomes;
- it was prone to subjective bias in terms of both the preparation of critical incident reports (especially when completed by the employees themselves) and their evaluation;
- it tended to reflect diligence and skills in report writing rather than the actual performance;
- it was punitive rather than developmental in its general orientation; and
- it was insufficiently linked to other HR functions and systems” (Presidential Commission 1998:26).

Subsequently, the Department of Public Service Administration (DPSA) was prompted to apply another system of performance management. A staff PMS then followed, and the approach thereof was based on “management by objectives”. The
criteria of the system emphasised promotions and additional benefits for employees who met and exceeded their targets, as well as an agreement regarding future staff development and training needs (Presidential Commission 1998:27).

However, the ‘management by objectives’ system did not really succeed due to the complexities of its implementation. In 2001, the DPSA decided to revert to the White Paper on Human Resource Management in the Public Service and the Public Service Regulations of 2001, which mandated all government departments to implement a system of performance management (Commonwealth Secretariat 2009:11). A synopsis of the events leading to the establishment of performance management was included in the Presidential Commission’s report, released during the tenure of former president Nelson Mandela in 1998. As noted before the South African government sees performance management as an important instrument for service delivery that also facilitates the achievement of national development priorities.

**Figure 3.1 Relationship between organisational and individual performance**

The performance of each individual will impact on the performance of the division in which the individual is located. The performance of each of the divisions will impact on the overall performance of the Department.

Source: (PSC 2007)
3.3 INTERNATIONAL BEST PRACTICES OF PERFORMANCE MANAGEMENT

Four countries will be discussed to highlight international best practices of performance management.

3.3.1 Performance management in the United States

Even though the US is one of the most developed and advanced economies in the world, and even though its genesis “of performance management can be traced back to the nineteenth century, it was only towards the end of the twentieth century” that performance management ‘took off’ as an established practice of HRM (Heinrich 2004:20). In the 1990s, the US experienced the widespread and rapid adoption of performance management (Heinrich 2004:20 & Moynihan 2012:1). According to Heinrich (2004:20), the rise of performance management in the US was based on the growing distance between individuals who received services and high-ranking officials. This led to anxiety regarding how local officials were exercising discretion in the use of federal taxes. One such consequence was the development of new accountability mechanisms. According to Moynihan (2012:1) and Cho and Lee (2012:238), the US’s successful implementation of performance management was based on the fact that it was established within the appropriate legislative framework of the Federal Government Performance and Results Act (GPRA) of 1993. As a result, it would be difficult to repeal such statutes. As Governors would find it difficult to ignore the statutes within the Act, it would ensure that a basic level of attention would be given to performance management.

Even though the US is based on a democratic system, it practices federalism. According to Moynihan (2012:1), the federal framework allows states to exercise greater degrees of flexibility in adopting different policy and management initiatives. Nonetheless, there has been a natural response to performance management across all sectors in the US (US Office of Personnel Management 2011:4). US states perceive “performance management as a system of maintaining or improving employees’ job performance through performance planning, coaching, mentoring and continuous feedback” (American National Standard Institute 2012:11). The US model of performance management is depicted in Figure 3.2 below.
According to the US Office of Personnel Management (2011:5), the US PMS includes the following five key steps:

- **Step One:** Performance management begins with “planning. In an effective institution, work is planned in advance...in the US system, planning consolidates the setting of performance expectations and goals for groups and individual as part of wider organisational objectives...when groups and individuals unite in a planning process, they can then understand the goals of the organisation...once this aspect is understood, all individuals and groups can dedicate their efforts to achieving said organisational goals” (US Office of Personnel Management 2011).

- **Step Two:** Performance management focuses on consistent monitoring. US institutions believe that the performance of individuals and groups “should be continuously monitored...monitoring refers to the measurement of
performance and the ongoing provision of feedback to employees and work
groups regarding their progress in reaching goals” (US Office of Personnel
Management 2011)

• **Step Three:** The success of performance management lies in the effective
development of groups and individuals. The US system views employees as
the main beneficiaries of the PMS. The system must reveal the developmental
needs of the employees. In turn, these needs must be evaluated and
addressed. Training and development are also important attributes of the
system. Their emphasis is “on increasing employee capacity to perform
through training, assignments that introduce new skills or higher levels of
responsibility, improved work processes” (US Office of Personnel
Management 2011).

• **Step Four:** Measuring performance is crucial in the US system, as this rating
is a useful tool to summarise employee performance. The rating process
enable managers “to compare performance over time or across a set of
employees” (US Office of Personnel Management 2011). This is important, as
it allows institutions to identify their strongest and weakest performers.

• **Step Five:** The US model is driven by the reward system. Here, reward is not
limited to financial incentives. Rewarding simply means that employees are
recognised when they have performed well, both as individuals and as part of
teams. Any effort that seeks to encourage and motivate employees to work
harder is regarded as a reward. According to the US model, “recognition is an
ongoing and natural aspect of an employee’s day-to-day experience” (US
Office of Personnel Management 2011). Examples of actions that signify
rewards for good performance include thanking an employee for a job well
done, which does not require a specific regulatory authority. However, award
regulations make provisions for a wide range of more formal rewards, such as
3.3.2 Performance management in the United Kingdom

Similar to the US, the origin of the concept of performance management in the UK can be traced back to the last century. Notably, the concept has featured in OECD countries, and the UK is no exception. The OECD ushered in a new era that consolidated all aspects of general management. Horton (2006:2) highlights the following reasons why the OECD punt ed the institutionalisation of performance management in countries:

- Governments need to make sure that public resources are used appropriately due to pressure to reduce or curb public expenditure and limit the state’s demand on national resources.

- Public expectations of improved service delivery by competent officials are constantly rising.

- Many public organisations are subject to increasing levels of competition from the private and voluntary sectors.

- There is rising demand for more transparency within governments.

- There is rising pressure on governments to meet their election commitments and (Horton 2006:2).

Prior to the institutionalisation of performance management in the UK (especially between the 1980s and 1990s), it was not an eminent “practical process aligned with other aspects of general management” (Martinez 2001:1). For quite some time, an unnecessary “separation existed between quality (a service outcome) and performance (an HR outcome)...however, it was soon found that a separation of this kind was unnecessary...thus, both performance management and quality enhancement ultimately rely on HR interventions, and both pursue the goal of delivering services” (Martinez 2001:1).

The US and the UK are recognised worldwide as the founders of performance management. As members of the OECD, they have epitomised the concept of performance management on the basis of reforms in relation to budget
management. Diamond (2005:173) summarises the notion of economic imperatives with regard to PMSs by stating that the ultimate objective is to implement “a system that matches costs with activities, measures the performance of these activities, develops standards of performance and compares costs and performance levels with these agreed standards”. Thus Diamond (2005:173) states “that the main purpose of performance management is to ensure governments use their financial resources wisely and to the benefit of their citizens”. However, Andrews (2014:2) highlights “that there is insufficient evidence to prove that performance management produces efficient savings…thus, alternative means of promoting cost-cutting innovations may be required”.

In an evidence report of the Public Policy Institute for Wales, Andrews (2014:2) presents two important findings with regard to performance management in the public sector:

- “Performance management can improve the effectiveness of public services. It also has a positive impact on outcomes for service users.

- Performance management seems particularly well-suited to delivering improvements in performance indicators that have a high degree of public acceptance, such as exam results and hospital waiting times. However, its effectiveness is influenced by other factors, including organisational culture and leadership”.

Similar to all developed countries, performance management has" been adopted from the private sector…in the context of business, the crucial issue within performance management is linking individual performance objectives with business objectives…in the UK, this linkage is facilitated in a number of companies through the use of balanced scorecards” (Stiles & Trevor 2006:20). The extant literature suggests that in the past twenty-five years, public sector performance has taken on a new urgency, and performance management has been a priority of all countries within the OECD.

By virtue of being one of the founders of performance management, the UK has advocated its role in government transformation since its implementation in 1961.
Notwithstanding the growing demand for adopting performance management in numerous countries in almost all continents, it is important that the rest of the world emulates the OECD by committing to performance management in order to achieve transformation.

### 3.3.3 Performance management in China

China is a quick-growing economy in Asia and globally. Since the 1980s, China has strived through a range of reforms, including restructuring, HRM and the implementation of performance results management, to boost service delivery. The consolidated efforts of the 1980s and 1990s have led to the birth of modern performance management. Notably, performance management has been the subject of much focus in China, as it is viewed as a way to increase government efficiency and accountability (Ye & Ni 2013:1).

The concept of performance management first emerged from the Chinese government in 2003. It is widely accepted in China that the concept was initially directed by Secretary-General Wang Zhongyu in 2003. Zhongyu stressed the value China would accrue in practising performance management in the government sector. Performance management was subsequently launched in 2008. The build-up to the launch can be traced back to the 1990s. The implementation of performance management in China is quite unique: Unlike other countries, China began its implementation at a local level, thus paving the way for the central government to follow. Through this local-level implementation, central government has come to appreciate it as the most important process of accountable and effective governance (Burns & Zhiren 2010:2).

In the beginning, performance management was limited to performance measurement in public organisations. The implementation first commenced on a trial basis, with a particular emphasis on three crucial components: A framework and set of performance indicators that were both ‘rational and scientific’; procedures and methods for performance measurement that were characterised by objectivity and fairness; and rules and mechanisms for the effective utilisation of performance data (Burns & Zhiren 2010:3).
Several modern management tools and techniques are incorporated in China in order to tailor the concept to the country’s unique environment. These “tools and techniques comprise strategic management, performance measurement, programme evaluation, TQM, quality accreditation and public-private partnerships (PPPs)” (Burns & Zhiren 2010). In China, a key aspect of performance management is the belief that if you cannot measure it, then you cannot improve it. Furthermore, certain management “tools are perceived as fads, such as ‘best-practice benchmarking’, ‘business process re-engineering’, ‘balanced scorecards’ and ‘service delivery innovations’…these tools are applied predominantly in the public sector and are not really taken seriously” (Burns & Zhiren 2010).

Notably, the adoption of performance management in China was mainly influenced by the quest to restructure its government – a process that can be traced back to the 1980s. In order to achieve this goal, certain reforms had to be adopted and institutionalised by the government. These reforms included reorganising the government to improve performance, implementing reforms in HRM, enacting performance and results management and improving the management of public service delivery.

As part of civil service reforms, China introduced an incentive-based system to connect the careers of public officials with their respective performances, as measured in part by how well they implemented the reforms introduced to improve government. This is exemplified in the use of promotions, which have become closely linked with career performance, thus leading to powerful incentives that have driven the system. “According to official policy, one month’s salary should be paid to the civil servants who are rated as ‘outstanding’ in annual appraisals… outstanding awards are limited to 15% of the total workforce, sometimes rising to 16% or 18%…salary increments are also paid based on performance…the municipal governments have been the main beneficiaries in terms of improved service delivery and the achievement of policy goals” (Burns 2007:15).

China is also one of the leading countries in terms of technology and has exploited its strength in technological advancement to institutionalise performance management. The performance management development strategies used by China
are based on e-Government. Thus, “both e-government and performance management are important tools for government reform…there are three strategies in relation to the development of performance management that are based on e-Government, namely, customer-driven strategies, information-sharing strategies and team-making strategies” (Li & Gao 2008:24).

e-Government is a useful tool to advance performance measurement, which is an important element of performance management. Performance data is better managed through various technologies offered by e-government. If the correct technologies are employed, successful customer service can be ensured and best practices can be pursued, thus ensuring the betterment of society.

3.3.4 Performance management in Brazil

The development of performance management in Brazil has a long legal history. The extant literature highlights that since Brazil’s independence from Portugal in 1824, the country, under the guidance of Emperor Pedro II and thorough its Constitution, became cognisant of the issue of government and public sector performance. At the centre of this awareness was the performance appraisal system in Brazil’s public sector (Grossi 2012:11).

Performance appraisal became prominent during the 1990s, with the introduction of a curve mechanism within the performance evaluation system. This mechanism was introduced “to justify the payment of performance-based compensation for a number of job categories” (Grossi 2012:12). “The Guiding Plan to Reform the State Apparatus was introduced in 1995 to modernise the public sector…by 1998, the institutionalisation of said plan allowed the government to grant bonuses based on employee performance” (Grossi 2012:12).

Given the account of Grossi, certain lessons can be learnt from the practice of performance in Brazil. First, the evolution of performance management features very strongly in many developing countries with a history of colonisation. Brazil, as a former Portuguese colony, used performance management as an intervention mechanism to ensure its transformation. In the domain of developing countries, the evolution of performance management starts with incentives. Until the 21st century,
performance management was understood from a financial perspective. However, this type of interpretation was not intentional. With time, developing countries have come to understand that performance is not merely about financial incentives. To ensure institutional and individual success, improving the capabilities and development of government employees is essential.

Brazil is South America’s biggest and most influential country. Geographically, it spans more than half the continent. Brazil’s political environment between 1964 and 1985 was in turmoil. From 1989 onwards, Brazil had to undergo a political transition from military rule to that of a democracy. A major corruption scandal in 1992 worsened the political environment and reduced Brazil to hunger and social injustice. On the economic front, Brazil’s potential for prosperity has been challenged by growing inflation and extensive foreign debt (Division for Public Administration and Development Management, Department of Economic and Social Affairs and UN 2004:2). Against this background, the need for Brazil’s rebirth became eminent, and serious efforts were needed to rescue it from the economic disaster that was rife between 1970 and 1992. Performance management became one of the reforms introduced to stabilise Brazil and save it from turmoil.

If one examines the four countries presented here, several perspectives can be drawn from the manner in which performance management is established and practiced. First, all these countries are federal states. The advantage of a federal state is that each county has the liberty to design its own PMS for as long as it is within the prescribed policies and legislation of performance management. However, federalism has its own shortcomings, as counties may differ in terms of, for example, their ability to implement financial reward systems. As a result, weaker counties are likely to struggle with the allocation of performance bonuses as rewards. Second, the development of the concept of performance management over time has contributed to the economic transformation of three out of the four countries (the US, the UK and China). Third, performance management is important for countries that are embroiled in political turmoil (e.g., Brazil). Though Brazil is still politically embattled, the extant literature suggests that Brazil has made significant progress. Fourth, performance management is originally a business concept. Thus, the success in its adoption by the public sector calls for these countries to draw lessons to be
implemented in their business environments. After all, transformation is driven by capital.

3.4 INTERNATIONAL THEORIES, TOOLS AND MODELS OF PERFORMANCE MANAGEMENT

The theories, tools and models of performance management will be discussed below in order to establish best practices.

It must be understood that there are many connotations by various authors in relation to this topic. According to Tabari, Gholipour-Kanani and Tavakkoli-Moghaddam (2012:1066), all of these connotations are symbolic of continuous improvement programmes. Some of these connotations are manifested as methodologies, approaches, tools and techniques (e.g. TQM, Six Sigma and business excellence). Irrespective of names or labels, the inference is a process of continuous improvements in quality. Furthermore, these approaches do not function in isolation. They are often best used in combinations in the implementation processes. Thus, it is important that they are applied to the appropriate teams and to the appropriate process.

The process of performance management is dynamic and multifaceted in nature. One aspect of this process is the performance evaluation system, which includes developmental, result and behavioural measures. “The role of performance management is to enable the evaluation and development of an individual, a unit or a company. It reflects and evaluates the achievement of pre-determined goals and targets” (Hellqvist n.d. 4). Hellqvist (n.d.:5) describes the global perspective of performance management within three global contexts – namely, global, organisational and individual contexts. Within these contexts, there are five elements to the process of performance management. These elements are typically established within the private sector, but they are highly relevant and useful for the public sector. Within the global context, private companies are established and exist within this context, thus meaning that global companies are guided by different priorities. The organisational context deals with subsidiary strategies and goals. The individual context deals with a company’s expectations of its employees. According to Hellqvist (undated: 6), “an essential element of successful performance
management is understanding the conditions and situations in which employees work”. The aforementioned element focuses on the following:

- **Job description and design**: A job description is designed in line with the company’s strategy. It must be versatile and flexible to meet the dynamic demands of the work environment.

- **Performance appraisal**: A performance evaluation is an integral component of performance appraisal. It relies on performance data for a number of reasons. One such reason is to make sure that a reward system is applied fairly based on the data gathered.

- **Goals**: Goals are ‘yard sticks’ for employees. It is through these goals that employees are evaluated, thus meaning that they will strive towards the achievement of these goals.

- **Training and development**: Within the set goals and following the appraisal, capacity development can then be instituted for employees.

- **Measurement**: Performance data is important to track and measure the achievement of goals. In time, it benefits both the individual and the company.

- **Evaluation and feedback of the outcomes**: These two elements are important for those who plan the future of the company, because they comprise a detailed account of where the company is and where it is going.

In light of the above, when performance management is adopted from the private sector, it becomes a business entity. A lesson drawn from this perspective is that the time has come for the public sector to conduct itself within a business framework. When business is involved, companies work hard to make a profit. It cannot be ‘business as usual’ in the public service. The public service has to redirect the lessons learned from the private sector so as to accelerate service delivery. A number of international theories, models and tools of performance management that are used globally are discussed below.
3.4.1 The balanced scorecard

The balanced scorecard is a performance measurement mechanism that can be understood from a business perspective. The dawn of the scorecard emerged based on a deficit, which culminated performance management before 1990s (Kaplan & Norton 1991:71). At the time, organisations placed too much emphasis on short-term financial and budgetary issues. As a result, they failed to foresee long-term and non-financial issues. In response to this growing concern, David Norton and Robert Kaplan developed a balanced scorecard in 1992. The product was a culmination of two years of research and is a phenomenon that became widely respected in the business sector (Mackay 2004:4). “A balanced scorecard is a set of measures that gives senior managers a fast but comprehensive overview of their business…the balanced scorecard includes financial measures that list the results of actions already taken and complements the financial measures with operational measures of customer satisfaction, internal processes and the organisation’s innovation and improvement activities – all operational measures that are the drivers of successful financial performance” (Kaplan & Norton 1991:71). The scorecard is thus “a management framework, and since its inception, it has been adopted, modified and applied by hundreds of organisations worldwide” (Murby & Gold 2005:3).

The balanced scorecard is prominent in numerous OECD countries, including the UK, the US and Australia. It is used alongside other frameworks and tools. For example, the Australian local government uses an estimated fourteen excellence frameworks and tools. The South African PMS has also, though to a lesser extent, been influenced by the balanced scorecard (Pillora & Artist 2010:15). According to Kaplan (2010:4), “the balanced scorecard was not originally intended to advocate for non-financial measures but rather, its intended use was to motivate, measure and evaluate company performance”. It retains its financial metrics as the ultimate measures of a company’s success, but it supplements these measures with metrics from three additional perspectives. All in all, “the balanced scorecard is a management tool that supports the measurement of four elements of organisational performance – namely, financial processes, customer-based processes, internal business processes, and learning and growth processes…it creates a system of linked objectives, measures, targets and initiatives that collectively describe the
strategy of an organisation and how that strategy can be achieved” (Kaplan 2010:4),

The balanced scorecard therefore offers a concrete method of recognising the various elements that ensure organisational performance.

The balanced scorecard method translates organisational strategies “into performance objectives, measures, targets and initiatives” (Kaplan 2010:4). It largely deals with the management of data in pursuit of the realisation of the organisation’s strategy. It relies heavily on the acquisition of statistical data to denote the efforts made to realise achievement of the organisation’s strategy. It also “provides feedback on internal business processes and external outcomes to continually improve organisational performance” (Kaplan 2010:4, Figure 3.3 presents a more detailed overview of the balanced scorecard.)
Figure 3.3 Translating vision and strategy: Four elements

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<th>&quot;To satisfy our shareholders and customer, what business processes must we excel at?&quot;</th>
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<th>&quot;To achieve our vision, how will we sustain our ability to change and improve?&quot;</th>
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<th>&quot;To achieve our vision, how should we appear to our customers?&quot;</th>
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Source: (cited from Kaplan 2010)
The balanced scorecard is multifaceted and comprehensive. The private sector exists to achieve its vision and strategy. In the private sector, a company exists for the purposes of business and is solely profit-oriented. The manner in which it conducts its business must take into consideration its shareholders and customers. Employees are essential for the realisation of the company's vision and strategy. Thus, striving towards the achievement of this vision and strategy must be a learning curve for them. In the process of executing their agreed tasks, their personal development becomes imperative. The customer must be at the centre of the private sector.

3.4.2 Total Quality Management and Six Sigma

“TQM is a management philosophy used to continuously improve the quality of products and processes...the quality of products and processes is the responsibility of everyone who is involved with the development and/or uses the products or services” (Aized 2012). The “Six Sigma is a business management strategy that seeks to improve the quality of process outputs by identifying and removing the causes of defects and minimising variability in manufacturing and business processes” (Aized 2012). “TQM’s focus is on general improvement by approaching the problem collaboratively and culturally, whereas Six Sigma utilises the efforts of many departments and generally uses a statistical approach...it measures and analyses data to determine how defects and differences could be minimised to a level where there are for example just 3.4 defects per million cycles/products” (Aized 2012).

3.4.3 Six Sigma and the European Foundation for Quality Management

The “EFQM is a non-profit organisation that was established in 1988 by fourteen well-known European companies (Bosch, Reanult, Fiat, BT, Boll, Electrolux, KLM, Olivetti, Phillips, Solzer and Volkswagen) with the mission of promoting performance excellence and creating organisational competitiveness in Europe and throughout the world” (Aized 2012). The model of the organisation (i.e. the excellence model) “is based on eight fundamental concepts of excellence that are retrieved from eight principles of quality management and TQM – namely, achieving balanced results; adding value to customers; leading with vision, inspiration and integrity; managing by
process; succeeding through people; nurturing creativity and innovation; building partnerships; and taking responsibility for a sustainable future” (Tabari et al. 2012:1067). Tabari et al. (2012:1069) conclude that “Six Sigma and the excellence model are ideal frameworks to review organisational performance against world-class best practices and identify strengths and areas of improvement…the Six Sigma and excellence model are complementary approaches”.

The application of the excellence model was used in South Africa to enhance the delivery of health services and ensure performance excellence in a state department. Its use was based on the notion that an internationally accepted excellence model would “provide benefits to organisations by enhancing service delivery and performance excellence” (Eygelaar & Uys 2004:34).

3.4.4 Performance management as a model: The Five-Factor Performance Management Model

The “performance management model is a systematic-based approach used to cultivate a culture of achievement in any economic entity by linking primary objectives to secondary ones” (Mwita 2000:19). The “model pinpoints appropriate performance measures of output from the viewpoint of the customer” (Mwita 2000:19). According to Mwita (2000:19), “the performance management model is implemented when there is a strong association between primary and secondary objectives and between strategic plans and performance measures…it is a distinguished phenomenon in the sense that it symbolises an integrated set of planning and review procedures that are systematic, data-oriented and value-adding” (Mwita 2000:19). “This then manages employees with the use of positive reinforcement as the principle method of optimising performance” (Mwita 2000:19).

The five-factor performance model provides a clear account of performance management outside the parameters of business environments. It has been indicated throughout the literature that the concept emerged first and foremost as a business entity in the private sector until its adoption by the public sector. The five-factor model “therefore provides a summary of performance management in a public sector environment” (Mwita 2000:19).
Selden and Sowa (2011:252), reiterate “that the ultimate goal of the performance management process is to align individual performance with organisational performance: the process should make employees aware of the organisation’s goals, priorities and expectations as well as how well they are contributing to them…HRM therefore plays an important role in this, as when people are motivated and encouraged in their jobs through appropriate recognition and rewards, improved communication, and learning and working arrangements, they are more likely to contribute meaningfully in their respective jobs…in this context, the balanced scorecard perfectly complements the five-factor performance model”.

Figure 3.4 Relationship between the balance scorecard and the five-factor performance model

As depicted above, the Five-Factor Performance Management Model embodies important aspects of the outlook of a public institution that aims to present its mandate of service delivery to the public. The mission statement is important, as it creates hope among the public, who can then subscribe to certain expectations. Strategies and plans also form part of the unfolding of the mission statement and outline how the mission of the institution will be achieved.

Action planning is important, as it deals with the implementation of plans and strategies that aim to achieve the mission of the institution. Responsibilities are assigned to people to articulate said institution’s strategic position. During this stage,

Source: (cited from Mwita 2000)
resources are allocated, performance targets are set and performance agreements and contracts are implemented. Action planning recognises human resources (people) as the centre of this implementation.

3.5 SUMMARY

Chapter Three provided an historical overview of performance management, including a global perspective on the development of performance management, the rise of NPM and the milestones in the development of performance management in South Africa. It also discussed international best practices of performance management in the US, the UK, China and Brazil.

The chapter then discussed international theories, tools and models of performance management, including the balanced scorecard, TQM, Six Sigma, the EFQM and performance management in terms of the Five-Factor Performance Management Model.

The chapter concludes with an emphasis on the association between individual and organisational performance. In pursuit of a corporate strategy, performance management models are essential, as the mission of a public institution needs to be realised by positioning said institution in the right direction and within the appropriate strategic management framework.
CHAPTER FOUR

CONCEPTUALISING AND CONTEXTUALISING THE VARIABLES INFLUENCING THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME FOR OFFICE-BASED EDUCATORS

4.1 INTRODUCTION

Chapter Four of the current study focuses on the following research objective (see Section 1.4), as part of the research problem: ‘To determine how performance management and development of office-based educators are executed in terms of the variables influencing the application and compliance of the PMDS in an education district’.

The current chapter commences by outlining the concept ‘office-based educator’ in the context of an educational district and conceptualises the ‘PMDS’ to provide a foundation for the rest of the chapter. The chapter proceeds to contextualise the development, strategies and institutions related to the PMDS. Hereafter, Chapter Four discusses the importance of evaluating the performance of office-based educators. In line with this, the processes associated with the PMDS for Office-Based Educators are outlined, namely developing work plans, outlining capabilities, providing ongoing review and feedback, quarterly reviews, annual performance appraisals, the PDP and upward feedback.

4.2 AN OUTLINE OF OFFICE-BASED EDUCATORS

The research was undertaken in the Dr Ruth Segomotsi Mompati Education District in the Vryburg area of the North West Province. Thus, before proceeding to describe the concept ‘office-based educator’, the term ‘education district’ needs to be clarified for the ease of understanding. An ‘education district’ is demarcated by the MEC for Basic Education in a province. It is therefore characterised as a first-level administrative sub-division of a Provincial DBE. Education districts play a significant role in “ensuring that all learners have timely and proper access to high-quality education…the primary role and function of an education district is to encourage and aid all educational institutions to achieve this primary objective” (SA DBE 2013).
The term ‘office-based educator’ is established in terms of the Employment of Educators Act, 1998. The term refers to a wide range of employees, including Circuit Managers, Curriculum Advisers, Educational Planners, Project Coordinators and others. They are ranked as follows: The CES is at the top of the hierarchy, followed by the DCES and SES (SA DBE 2011).

The DBE consists of two categories of personnel. The first category is employed under the Public Service Amendment Act, 2007, and is responsible for non-academic activities and administration within the department. The second category is employed under the Employment of Educators Act, 1998, and is responsible for the academic and professional development of institution-based educators. The latter category forms the target population for this research project.

4.3 CONCEPTUALISING THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME

The PDMS for Office-based Educators was established in terms of the Collective Agreement 3 of 2002. “The purpose of the agreement is to identify, evaluate and develop the performance of office-based educators” (ELRC 2002). Within this context, the term ‘scheme’ is used interchangeably with the term ‘system’ throughout the study. The term ‘scheme’ is unique to the DBE, whereas the other public service departments in South Africa use the term ‘system’. Thus, the term ‘system’ may be drawn from publications other than the DBE that were used during the course of this research.

4.4 STRATEGIES, FRAMEWORKS AND INSTITUTIONS

Performance management practices such as ‘development systems’ and ‘performance management’ have become a leading philosophy underlying contemporary public sector reform in most industrialised countries (Verbeeten 2008:427; Speklé & Verbeeten 2009:3). As they embarked on improving performance in their public sector institutions, it has become equally important for post-liberation countries. The emergence of the concept ‘reinvent the government’, also known as NPM, has since focused on performance management practices.
Considering the above discussion, educational reform in South Africa was necessary to do away with apartheid policies. A PMDS became one of the HR actions that was ushered in during post-apartheid South Africa. The South African Public Service is widely commended for implementing this reform as early as 2002. This is contrary to the argument posed by Bana (2009:15) that employee appraisal remained untouched during the post-independence reform period. Also, Fatile (2014:77) emphasises the fact that the intention to develop a PDMS in South Africa has not yet yielded the desired effect: To improve productivity in the public service.

The ANC, which led the Government of National Unity after the first democratic elections in South Africa, underscored the importance of restructuring the DBE (ANC 1994). It is a well-known fact that, during apartheid, the black population received limited access to quality education, especially in the areas of science, mathematics and literature.

To address the, transformation of education became essential and special attention needed to be paid to improving this particular area. As such, learners’ progress in mathematics, science and reading in the lower grades has become a central focus of the DBE’s transformation. Curriculum deficits in the areas of mathematics, science and reading in lower grades still exist within the DBE. Office-based educators are among the stakeholders who are expected to contribute to the transformation of the DBE’s curriculum. Further, they are personally responsible for supporting the implementation of the curriculum. As an HRM practice that aims to foster positive change in terms of the DBE’s curriculum delivery, the PMDS for Office-Based Educators is necessitated by the following policies and strategies:

4.4.1 Delivery Agreement for the Basic Education Sector

Over the last six years, the DBE has been under immense pressure to improve the quality of basic education. The department has been at the centre of government priorities following the inception of the Fifth Administration of South African Government in 2009 (see Chapter One). Minister Angie Motshekga signed the Delivery Agreement for the Basic Education Sector in 2010, stating that “improvement of the quality of basic education as Outcome 1 of a total of 12
outcomes” has been a top priority across all government departments (SA DBE 2011a).

The DBE is aware of its role in eradicating poverty, an attribute enshrined in a number of publications since 2009. The notion of eradicating poverty is further emphasised in its Strategic Plan for 2011-2014, which stipulates that giving South Africans a better educational start in life will help reduce poverty (SA DBE 2011b). Poverty is a global phenomenon and is taken seriously by the South African Government, as it continues to threaten the very fabric of our society. Furthermore, all government departments, including the DBE, focus on poverty eradication in support of the former UN MDGs. According to the UN (2013:7), a lack of education in poor communities around the world is one of the primary sources of unemployment. Mindful of Goal 1 of the MDGs, and given the legacy of inequality and poverty, “the delivery of essential services and the provision of decent work has been a consistent theme of successive South African governments since 1994” (RSA 2013).

In South Africa, the development of basic education since 1994 attests to the serious light in which it is viewed. This reflects an international focus on education. The development of basic education from a UN perspective is also a concern in Africa. It features strongly in the agenda of the two critical bodies in Africa, namely the Southern Africa Development Community (SADC) and the African Union (AU). The DBE is further guided by the programmes and international agreements embraced by these bodies.

The SADC/AU Implementation “of the Regional Education and Training Plan, also known as the SADC/AU Second Decade Plan of Action, is one of the programmes that the DBE is striving to achieve” (SA DBE 2011c). In its report pertaining to the implementation of this action plan, the DBE states that the persistently low academic performance of learners has prompted the government to initiate a Delivery Agreement for the Basic Sector to improve the quality of basic education. The Delivery Agreement is based on Outcome 1 out of the 12 government outcomes that aims to accelerate improved service delivery (SA DBE 2011b). Realising the government and the DBE’s mandate to deliver public services depends on the
successful implementation of the PMDS. Moreover, the PDMS helps facilitate HRM within the DBE.

According to the PSC (2011:2), the public sector is a labour-intensive employer that relies on the quality, skills and performance of its staff. As the public sector is expected to ensure efficient and effective service delivery, departments need to adopt appropriate HRD practices to improve performance. The South African Government views the DBE as a key role-player in accelerating its development agenda and eradicating poverty. Therefore, the PMDS for office-Based Educators is an important HRD practice to empower office-based educators through training and development initiatives. Office-based educators who are involved in curriculum delivery play a significant role in ensuring that South African learners receive quality education.

Existing research indicates that the quality of schooling in the country has deteriorated in recent years. At present, the DBE’s biggest challenge is the persistently low academic achievement of learners, which has forced the government to undertake a number of initiatives to improve the quality of schooling (SA DBE 2011b). The DBE’s history of poor academic performance is well-documented by the department itself, in government publications, as well as by local and international research institutions. The Presidency (SA Presidency 2009) is mindful of the poor academic achievement of learners in South Africa. During the last few years, the poor educational outcomes displayed by the DBE has been documented by global research institutes for mathematics, science and literacy. In 2003, international research by “Trends in Mathematics and Science Study, the Southern and Eastern African Consortium for Monitoring Educational Quality and Progress in International Reading Literacy Study showed low performance in primary mathematics” (SA Presidency 2009b).

Related literature points out that radical overhaul is needed within the DBE to improve educational outcomes. This task requires a concerted effort of all stakeholders in the DBE. The inferior performance of the country’s education sector poses a serious challenge to office-based educators, who are charged with improving the standard of education through proper curriculum implementation (SA
Presidency 2009). There is tremendous pressure on these educators to make a meaningful contribution by supporting government initiatives to improve the DBE’s performance. Therefore, the PMDS for Office-Based Educators is paramount.

4.4.2 Action Plan 2019: Towards the Realisation of Schooling 2030

The DBE has undertaken several initiatives to promote economic transformation in South Africa, as per the NDP: Vision 2030, SADC/AU Second Decade Plan of Action and the former MDGs. Action Plan 2019: Towards the Realisation of Schooling 2030 that serves as a blueprint to accelerate the transformation of basic education in South Africa (SA DBE 2011a). It is now in its second phase, after the first Action Plan was launched in 2014. During the launch of the first Action Plan 2014, the DBE indicated that it was primarily aimed at managers in the education system and those involved in monitoring the sector’s progress. Officials from the National DBE, the nine provincial education departments and districts were the intended users (SA DBE 2011a).

Districts play a critical role in facilitating transformation within the DBE. Action Plan 2014 reiterated that the capacity constraints in districts were a key bottleneck in terms of developing a more effective schooling system. The districts are characterised by staff shortages, while existing staff often lack the skills and training to execute their duties (SA DBE 2011a). Therefore, if the PMDS for Office-Based Educators is implemented correctly, it will help realise the outcomes of Action Plan 2019.

4.4.3 Compliance with the Medium-Term Strategic Framework and NDP: Vision 2030

The DBE has aligned its strategic plan to the six outcomes of the MTSF: Five-Year Strategic Plan 2014/15-2018/19 and to the Sectoral Action Plan 2019 (see Chapter Two). The MTSF is implemented in conjunction with the PFMA, 1999. The MTSF also is strongly connected to the NDP: Vision 2030, a significant and strategic source document for all government departments to improve service delivery in the public sector. Both the NDP and MTSF include the 12 outcomes that government had agreed upon in 2010. These were scheduled as the primary focus areas of
government between 2010 and 2014. ‘Outcome One: Improved Quality of Basic Education’ recognises the role education plays in advancing and promoting equal economic opportunities among the citizens. Thus, improving the quality of education is a quintessential component of the MTSF, as highlighted in the following five sub-outcomes:

- **Sub-outcome Two:** Improved quality of basic education.
- **Sub-outcome Three:** State intervention and support for good education.
- **Sub-outcome Four:** Increased accountability for improved learning.
- **Sub-outcome Five:** HRD and HRM of schools. This is meant to strengthen the capacity of district offices to support schools (SA DBE 2014).

A lion’s share of South Africa’s national budget has been directed to education and training over the past 23 years. In 2013, government spending on education was roughly around 6% of the country’s Gross Domestic Product (GDP), while basic education received 19.5% (SA DBE 2013). However, the current state of education suggests that government interventions and spending have not yielded the desired outcome (SA Presidency 2009a). Critics argue that the South African education system is operating inefficiently. This places tremendous pressure on office-based educators to work harder in an attempt to improve the situation.

In his analysis of the Ethiopian public sector, Gebrekidan (2013:177) emphasises the importance of implementing a performance-based culture in the public sector. The author adds that the public service must focus its attention on professionalism through integrated PMDSs (Gebrekidan 2013:177). Within a South African context, the PDMS for Office-Based Educators is crucial because it aims to address both the developmental and motivational objectives. When applied correctly, it can promote and strengthen professionalism in the public service, as well as combat corruption and unethical practices. The DBE receives a considerable budget in pursuit of curriculum implementation. Hence, the performance of office-based educators must be evaluated to ensure value for money.
According to a study by Shangali (2009:18), HR policies play a significant role in the growth and development of any institution as they enhance the productivity and effectiveness of the workforce. However, enhanced productivity and effectiveness can only be obtained through a sufficient budget. Therefore, HR policies must be designed within the prescripts of the PFMA, 1999 to enforce both the professional and ethical conduct within the South African Public Service (Shangali 2009:18).

The NDP: Vision 2030 is implemented in conjunction with the Delivery Agreement for the Basic Education Sector. Its primary aim is to make sure that South Africans have access to quality training and education, as well as to facilitate improved learning outcomes. The NDP: Vision 2030 addresses a broad spectrum of issues, such as improving the quality of basic education by building national capacity. Urgent action is suggested to improve the quality of the education system. Some of the priorities in the DBE include human capacity and district support (SA DBE 2014). As office-based educators in both districts, provinces and national departments are chief actors in educational development South Africa, and they are an important commodity in realising the NDP: Vision 2030.

4.4.4 The Framework for Managing Programme Performance Information of 2007

The government’s Framework for Managing Programme Performance Information (FMPPI) of 2007, which was released by the National Treasury, has the purpose to:

- “clarify definitions and standards for performance information to support regular audits of such information, where appropriate;

- improve integrated structures, systems and processes required to manage performance information;

- define roles and responsibilities for managing performance-related information; and

- promote accountability and transparency by providing Parliament, Provincial Legislatures, Municipal Councils and the public with timely, accessible and accurate performance information”.
4.4.5 The Government-Wide Monitoring and Evaluation System of 2004

“In 2004, the South African Cabinet initiated plans for an M&E system for government. Subsequently, the Presidency developed the Government-Wide Monitoring and Evaluation System (GWMES) as a framework to enhance systems by describing how they related to each other” (National Treasury 2005:2). “There are various existing systems to gather valuable information from within government… however, there are numerous gaps in the information needed to plan service delivery, as well as to review and analyse the success of policies” (National Treasury 2005:2). To fill these gaps, the GWMES “has three components, namely “programme performance information; social, economic and demographic statistics; and evaluations” (National Treasury 2005:2).

4.4.6 National Education Evaluation and Development Unit

The DBE formally established NEEDU in 2009 during the tenure of former Basic Education Minister, Naledi Pandor. The evaluation and development institution took shape based upon an agreed-upon political intervention at the 2007 ANC Elective Conference in Polokwane. The establishment of this independent, investigative and research-oriented institution followed the recommendations of a ministerial committee in 2008 (SA DBE 2009). In the context of district and provincial support, NEEDU (2014:7) identified two themes, of which the latter points directly to districts. These functions are to evaluate the way in which provincial DBEs monitor and evaluate schools, as well as the support that schools receive from the education districts.

Research findings by NEEDU (2013:19) suggested that South African schools performed below expectations. Furthermore, NEEDU (2013:19) asserted that education in South Africa was substandard in comparison to poorly resourced education systems in Southern and Eastern Africa. NEEDU (2013:19) attributed this inferior performance to teachers’ inability to implement the curriculum.

NEEDU (2013:8) suggested that office-based educators, as defined in the DBE General Notice No. 300 of 2013 and the Employment of Educators Act, 1998, were the culprits. A fundamental challenge was that primary school teachers exhibited
poor subject knowledge in language and mathematics. This pointed to an incomplete understanding of curriculum requirements and their implementation within the classroom. The same applied to Subject Advisors, Circuit Managers in district offices and many high-ranking officials. The PMDS could serve as a developmental and accountability framework for office-based educators, especially in districts.

4.5 THE IMPORTANCE OF EVALUATING THE PERFORMANCE OF OFFICE-BASED EDUCATORS

A research study by Bouvard et al. (2011:1) highlights that “developed economies have reached a day of fiscal reckoning”. In other words, improving public service performance is no longer a matter of choice. Like other countries in Africa, and in the SADC region in particular, South Africa is in the process of rebuilding key structures following the establishment of a democratic government in 1994.

Generally, performance evaluation the South African Public Service is conducted for the following four primary purposes:

- When conducted properly, evaluation serves as a learning curve to improve performance.

- Evaluation is conducted to instil a sense of accountability in the public service.

- Evaluation helps generate knowledge about what works and what does not.

- Information Managers and Supervisors can enhance their decision-making through evaluation (SA Presidency 2011 in Auriacombe 2019:113).

Key words such as ‘improvement’, ‘learning’, ‘accountability’ and ‘knowledge’ highlight the importance and benefits of evaluation. Evaluation-based information serves as a point of reference for supervisors, decision-makers and policymakers. As the DBE plays a vital role in economic transformation, it should bear the afore mentioned in mind.

With regards to the history of educational transformation, it is critical to determine the effectiveness and efficiency of outcomes-based education (OBE), which was implemented in 1997. Within this context, the HR component (the two categories of
educators in the DBE) is responsible for basic education. Institution-based educators are responsible for implementing the curriculum correctly, while office-based educators provide support, mentoring and monitoring.

The role of the DBE is to improve OBE, by ensuring that institution-based educators implement the curriculum correctly. This highlights the need to create an enabling environment for learning and knowledge-generating opportunities. Effectiveness and efficiency therefore rely on a consistent and coordinated effort by office- and institution-based educators. Undoubtedly, the PMDS for Office-Based Educators has an important role to fulfill in building the capacity of these educators through evaluating their performance. The PDMS can also be used to hold those in charge accountable.

Ghosh et al. (2010:217) state that every institution is driven by the need for optimum performance and employees are instrumental in achieving this goal. According to Neogi et al. (2011 in Ghosh et al. 2010:217), institutions use PMDSs primarily to evaluate the effectiveness and efficiency of their employees. According to Jafari, Bourouni, Amiri (2009:92) and Shahraji et al. (2012:620), performance evaluation is a fundamental requirement within any institution. Moreover, evaluations should take place continuously. This helps to determine whether employees’ performance has improved or to understand inferior performance from an institutional perspective.

Shahraji, Rashidipanah, Soltaninasanb, Golroudbari, Tavakoli, Khoshidifard, Attar & Ghahramanpour (2012:620) argue that the acquisition of information enables managers to make informed decisions to improve employees’ performance from a quality and quantity perspective. Through this, managers can adopt approaches and practical solutions that contribute to employees’ professional growth (Shahraji et al. 2012:620).

According to Islam and Rasad (2005), employee performance evaluation primarily focuses on individual’s contribution to the institutions. The future of the institution is determined by comparing individual performance with organisational goals. Islam and Rasad (2005) add that “performance appraisals help in identifying, evaluating and developing employees’ performance so that institutional goals and objectives
are achieved…at the same time, employees benefit from the recognition, feedback and career guidance”.

Van der Westhuizen and Wessels (2013:267), state that “the significance of a PMDS lies in the integrated nature of the performance appraisal”. Van der Westhuizen and Wessels (2013:267) highlight that “it must be applied correctly to achieve institutional goals”. Their analysis coincides with the Collective Agreement 3 of 2002, which prescribes the following implementation actions for the PMDS for Office-based Educators:

- **HR planning:** Performance evaluation outcomes support HR planning by revealing the strengths and weaknesses of the existing workforce, thereby enhancing institutional capacity.

- **Probation and planning:** Performance-based rewards and incentives play a key role. Staff members are given the opportunity to display their skills. For experienced staff members, it may offer an opportunity for growth in their current jobs, including promotions. Newly appointed staff must undergo evaluation during their probation periods.

- **Merit pay increases:** Performance management is not only an intervention to correct problems or increase production. Effective performance is rewarded when it occurs. The Collective Agreement 3 of 2002 makes provision for a 1% cash bonus for satisfactory performance based on the PDMS and an extra notch if a staff member has shown outstanding performance for a minimum period of three years. Therefore, performance-based discussions are less likely to be seen primarily as opportunities for conflict. Werner and DeSimone (2009:315) state that supervisors and managers should ensure that employees are informed of their performance on a regular basis. In line with this, Kauzya (n.d.:105) states that, “...motivation is a humane value, an inward drive to serve. Incentives on the other hand, can be regarded as rewards that an individual value so much that he/she will work hard in response to them”.

- **Employee training and development:** The outcome of an evaluation is a clear indication of employees’ strengths or weaknesses. When weaknesses
are discovered, employee training and development interventions can take place through HR planning.

- **Dismissals:** Collective Agreement 3 of 2002 stipulates that the outcome of an evaluation could warrant the dismissal of a staff member. Such a decision is based on continuous efforts by a supervisor to improve the performance of a staff member. The dismissal is based on the fact that the staff member has failed to reach mutually agreed-upon standards and produce satisfactory results against a sizeable number of capabilities.

Werner and DeSimone (2009:314) state that “coaching is a positive approach to managing performance”. They emphasise “that effective supervisors and managers play an active and positive role in employee performance and ensure that goals are met” (Werner & DeSimone 2009:314).

Supervisors play a significant role in successful performance evaluation. Each office-based educator has a supervisor who must provide mentorship and coaching, so that the evaluation objectives are met. Gomes, Camões and Carvalho (2010:1) support the growing argument that performance measurement, “if applied correctly and holistically, could improve institutional development. As a result, constant coaching, mentorship and support by supervisors are necessary for the implementation of PMDS.

### 4.6 PROCESSES ASSOCIATED WITH THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME

The PMDS for Educators is a broader concept of performance management that was developed by the DPSA. According to Mutahaba (2011:59), the South African PMDS has the following two main thrusts: Firstly, it focuses on realising the development outcomes of the MTSF: Vision 2025. Secondly, it deals with the management of individual employee performance within the public service, which is linked to the HRM function.

The PMDS for Educators was established based on the HR vacuum that was created within the public service during apartheid. Du Plessis (2013) asserts that,
before 1994, the HRM methodology within the public service did not drive human performance: nor did it improve the quality of service delivery.

The DBE started to address this policy vacuum in 2002. The PMDS for Office-Based Educators was subsequently established in 2003, in terms of the Collective Agreement 3 of 2002. The PMDS for Office-Based Educators is implemented during the DBE’s fiscal year (from April to March of the following year). It connects the need for effective staff performance with the DBE’s corporate plan. The PMDS is significant, as it identifies, evaluates and develops the performance of office-based educators. Collective Agreement 3 of 2002 emphasises the importance of integrating these three important areas into the daily work context of supervisors and staff in order to ensure that:

- “the DBE’s mission and objectives are achieved;
- its values are practiced; and
- staff benefit by having expectations clarified, as well as receiving recognition for their efforts, feedback on their performance, improved training and development and enhanced career planning” (ELRC 2002).

There are seven processes within the PMDS cycle, as outlined in the ELRC Collective Agreement 3 of 2002.

### 4.6.1 Developing work plans

A work plan is a point of departure for “the implementation of the PMDS for Office-Based Educators...it is a collaborative work plan that is established by the staff member and his/her immediate supervisor” (ELRC 2002). A work plan is completed in Form One, which follows the format of the corporate, operational and the action plans. These plans are directly connected to the DBE’s organisational requirements.

One of the crucial requirements is the job description of a staff member. A job description entails all the activities that a staff member should execute and represents performance indicators attached to these key objectives. This
development plan is a mutual agreement between the staff member and the supervisor.

Before an application “for a vacancy in a department or a work plan can be considered, the manager is required to identify the requirements for that position along with the knowledge, skills and abilities pertaining to the job...Equally, before employees can be evaluated on their performance, they need to understand what will be expected of them” (Auriacombe 2019:103). Thus, “all the relevant information pertaining to the various aspects of the job should be obtained and analysed, as this will serve as a foundation for various other HR functions, including recruitment, selection, placement, compensation and performance evaluation” (Auriacombe 2019:103).

Anthony et al. (1996 in Auriacombe 2019:105) suggest “that job analysis information must be reviewed and updated regularly...it should be an on-going practice, given the fact that organisations are dynamic and are made up of people who are constantly subjected to personal and professional changes...both, the managers and personnel specialists must review aspects relating to job analysis and job design, namely the job description and job specification, on a regular basis”.

“The most important purposes are creating job descriptions and job specifications to outline tasks, duties and responsibilities...job specifications, on the other hand, provide a description of the knowledge, skills and abilities needed to perform a specific job” (Auriacombe 2019:106). According to Auriacombe (2019:106), the most important uses for the job analysis information include:

• “job evaluation;

• recruitment, selection and placement;

• labour and human resource relations;

• utilising human resources; and

• training and development”.

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Paramount to the implementation of the PMDS for Office-Based Educators is the action strategies, performance indicators and common plans. Firstly, the Collective Agreement 3 of 2002 describe ‘action strategies’ as specific actions or strategies where the staff members work towards achieving an objective. Staff members and supervisors view ‘performance indicators’ as measures to ensure that the objectives mentioned in the job description are achieved. An important aspect of the work plan includes the allocation of resources to realise the key objectives. The issue of resources is discussed and agreed upon by the staff members and supervisors. The Collective Agreement 3 of 2002 makes provision for common work for staff members who are on the same level and who perform the same work. It is also important to note that an individual staff member is assessed against his/her own individual work plan.

During the interviews, office-based educators stated that work plans are developed and available. It was interesting to note that, work plans are problematic in the sense that they are only attended to during the first encounter with the PMDS. To determine results, office-based educators operate with the same work plan throughout the year with no revisions whatsoever. This cannot be considered as an effective practice. Employees with the same job function have to revise their work plan regularly, along with their supervisors. Work plans work hand in hand with job descriptions. During the interviews, it was revealed that some supervisors never read job descriptions and merely sign them at the start of the annual appraisal.

4.6.2 Capabilities

A mutual agreement between staff members and their supervisor is based on the KPIs that need to be accomplished by the end of the fiscal year. Form Five is used to assess these capabilities. Just as the work plan, staff members and respective supervisors mutually agree on capabilities. These capabilities are discussed at the start of the assessment period. Capabilities are perceived within the context of the practical execution of the work plan, as informed by the job description.

The PMDS for Office-Based Educators consists of nine capabilities which are rated on a five-point rating scale. This scale is used to rate each capability. In brief, the capabilities describe the way in which the work plans or objectives are achieved. The
first five capabilities include job performance, job knowledge and application, interpersonal relations, communication, and client service and are applicable to all the staff members, including supervisors. Office-based educators assume positions including that of SES, DCES and CES, as outlined in the Employment of Educators Act, 1998. The last four capabilities, namely equity, operational leadership abilities, visionary leadership abilities and conceptual and analytical skills, are confined to supervisors (DCESs and CESs). The interviews conducted revealed that there are no discussions between the supervisors and supervisees. This function is executed only once by the PMDS provincial team directly after employees are appointed. The provincial team’s role is limited to explaining how the process works.

4.6.3 Ongoing review and feedback

Communication plays a key role during the evaluation period. During this process, monitoring of performance against the work plan and capabilities must occur. The feedback must focus on the negative and positive aspects of performance, with the aim of improving the negative aspects. According to Shepard (2005:5), employees need formal feedback just as in all relationships. Shepard (2005:5) concludes that feedback does not have to be positive or negative all the time. Ward (2005:16) provides three implications that might be encountered during the PMDS feedback. Firstly, the process of feedback might not necessarily be pleasant. The purpose of feedback is not necessarily to make the employees feel better about the people or the institutions they work for. Secondly, feedback should not be construed to be just a ‘well done’ or ‘that’s not good enough’. Enhancing the performance is dependent on fairness, accuracy and practicality. Thirdly, managers play a key role in providing feedback. Therefore, managers must be accurate and must help the employees to improve their job performance. Thus, the managers must be able to analyse individual ability effectively. Ward (2005:16) concludes that without proper diagnostic skills, feedback is likely to be irrelevant or even damaging. Demotivating feedback is often conspicuous in terms of its absence in management development programmes.

Regular feedback is highly recommended, as it keeps the staff members abreast of matters pertaining to their performance. Feedback takes place in the form of
interviews and is even more important to the staff members who are covered by the first five capabilities than it is to the supervisors who are covered by the last four capabilities. Supervisors should maintain a constant relationship with staff members to ensure that they work steadily on improving their performance. DeCenzo and Robins (2010:232), however, argue that without proper two-way feedback about an employee’s effort and its effect on performance, organisations run the risk of decreasing employee motivation.

Ongoing review and feedback can be better understood by what Illington and Barber (2009:14) refer to as ‘employee engagement’. They identify four main drivers of employee engagement, namely, the executive-level management, supervisory, vision, mission, goals and staffing practices. These four drivers are regarded as the interventions that can render positive results in terms of employee engagement during the PMDS processes. For this research, only the second and third elements will be discussed. This is done for two reasons: Firstly, the office-based educators are accountable to their supervisors. It must be understood that even supervisors are office-based educators but become supervisors because of their seniority within the hierarchy of accountability. Secondly, the PMDS consolidates the realisation of the mission and vision of the DBE in a quest to achieve the strategic goals of the department. Illington and Barber (2009:14) highlight the following:

- **Supervisory-level-management:** This is second in the hierarchy and the most important and influential driver of employee engagement. It is influential in a sense that employees tend to have faith in the person they report to, especially when he/she keeps them informed and consult them on decisions that affect their work and their workplace. Employees expect their supervisors to be fair, to be personally interested, and to be honest in communications.

- **Vision, mission, and goals:** This is the third important principal driver. A disciplined workforce abides by the vision, mission and goals of the institution they serve. The vision, mission and goals channel the institution in the right direction. Employees need to be aware of the fact that their jobs form part of the bigger picture of the institution’s objectives (Illington & Barber 2009:14).
Macey, Schneider, Barbera and Young (2009:46) employee engagement is based on whether its workforce trusts the organisation and its management. Simply put, without trust, engagement cannot exist. According to interviews conducted with employees in the Dr Ruth Segomotsi Mompati Education District, performance is not measured against the work plan and capabilities. The interviews also established that no monitoring taking place in the district and thus development cannot take place. However, respondents indicated that quarterly reviews and annual appraisals are monitored by provincial officials who visit the districts during these occasions. However, the provincial office does not pay attention to the quality of the content, but rather on the compliance to the PMDS.

4.6.4 Quarterly reviews

Formal quarterly reviews form part of the ongoing review process. Every three months, the supervisors and respective staff members review the work plan, along with the capabilities of the employees to evaluate their progress and to provide training whenever needed. The changing circumstances during the period of assessment are taken into consideration in the quarterly review to ascertain the relevance of the work plan. As a result, adjustments can be made in line with changed circumstances. According to Qureshi et al. (2010:1858), performance review must fulfil the following aspects of performance management:

- **Measurement**: Performance results are evaluated against pre-established expectations.

- **Feedback**: During and after the process of evaluation, the employees are provided “with information about their performance throughout the year” (Qureshi et al. 2010:1858),

- **Positive reinforcement**: When the performance of the employee is good, it must be recognised and appreciated. It is necessary to maintain the momentum of satisfactory performance with the help of this recognition and appreciation. Criticism, too, is an important element of a performance review. However, it must be constructive to allow room for enhanced performance. Qureshi et al. (2010:1856) emphasise the fact that, “…the efficient
implementation and effectiveness of a performance management and development scheme is dependent upon the behavioural factors of the employees and manager, and as how the managers beguiled the employee towards it” (Qureshi et al. 2010:1856)

The interviews that were conducted as part of the current research paint a negative picture of how the quarterly reviews are handled. The outcome of the interviews suggests that the process is only a matter of compliance. However, supervisors tend to scrutinise and question high scores (see Chapter Five).

4.6.5 Annual performance appraisals

An annual performance appraisal is conducted after the quarterly review, at the end of the PMDS cycle. According to Mohube (2009:29), annual appraisals identify pockets of excellence as well as areas for development. According to DeSimone and Werner (2009:315), “the PMDS entails more than annual ratings and interviews. It includes employee goal-setting, feedback, coaching, rewards and individual development…as a result, the PMDS is an ongoing process of performance improvement, rather than an annual performance review”.

According to Adejoke and Bayat (2013:10), the Eastern Cape Department of Health relies on a performance appraisal tool to implement its PDMS, which entails the knowledge, skills, behaviour and attributes that are required to assess performance expectations. According to the NWDESD, annual performance appraisal discussions takes into account the following aspects:

• Performance-related discussions between supervisors and staff members are based on the agreed work plan and capabilities. During these discussions, possible improvements and changed circumstances are considered.

• Performance is evaluated against the agreed capabilities.

• Staff members are given the opportunity to provide a persona appraisal based on the work plan and capabilities.
These discussions give staff members an opportunity to comment on the results of their appraisals.

Staff members are given the opportunity to comment on supervisors’ ability to conduct appraisals.

Discussions are followed by conclusive reports on the overall performance rating.

Subsequently, future plans and possible incentives are outlined (NWEDSD Undated).

DeCenzo and Robbins (2010:232) state that performance appraisals inform staff members of their prospects based on established goals and capabilities. Notably, DeCenzo and Robbins (2010:232) conclude that a lack of proper two-way feedback on employees’ performance could lower the company’s overall morale.

The interviews conducted with office-based educators highlighted that annual performance appraisals are done for compliance and documentation purposes. There is no evidence of any form of engagement between staff members and supervisors and supervisors never scrutinise the content of the documents, other than stating that scores should be lowered. The content of the appraisal is never scrutinised. In line with this, one interviewee that took part in the current study stated that, “The outcome of moderation and verification revealed that it seems as if the process is very reckless and it creates an impression that both staff members and supervisors did not take annual appraisal in a serious light”.

4.6.6 Personal development planning

The PDP is one of the key outcomes of the PMDS for Office-Based Educators, as it focuses on improving performance. It is formulated in the form of a discussion between the supervisor and the staff member which conducted after the annual appraisal. The Collective Agreement 3 of 2002 stipulates two important areas that need to be considered when developing a PDP:

- Identifying training needs, also known as skills gaps.
• Identifying training needs for future jobs, also known as career pathing.

The PDP is an important element of HRD, whereby staff members receive support in terms of career development and progress. The PDP helps identify areas for possible development through a number of processes, such as continuous feedback, quarterly reviews, and annual reviews.

According to O’Callaghan (2005:5), training and development is at the centre of the PMDS for Office-Based Educators. “The planning phase includes an agreement on formal development for the employee…it should be based on the required skills, behaviour and knowledge (key competencies) that are required to achieve the set objectives and targets…long-term developmental initiatives that are based on potential and satisfactory performance are therefore highly recommended…as outlined in the Collective Agreement 3 of 2002, training activities should focus on performance gaps experienced during the various PDMS processes…when training is linked to performance gaps, it will be more focused, specific and relevant” (O’Callaghan 2005:5).

One of the interviewees that took part in the current research stated that communication about the PDP is non-existent. It also emerged from the interview that after the conclusion of quarterly reviews and annual appraisals, the employees correct supervisors in terms of the development that is needed.

4.6.7 Upward feedback

Upward feedback focuses on how supervisors have managed their staff during the fiscal year. Such feedback provides an account of how supervisors can enhance and sharpen their managerial skills to a positive impact on staff members or manage them more efficiently. Feedback of this nature legitimises the evaluation process, since supervisors can gain insight into how staff members view them. The Collective Agreement 3 of 2002 concludes that the upward feedback thus adds integrity and credibility to the evaluation process, since it signifies a two-way process that includes both the supervisor and the staff members.
There are two stages related to upward feedback. The first stage entails an informal session where staff members provide feedback. Staff members can comment on a variety of issues in conjunction with the work plan and the agreed capabilities. They can also provide suggestions on how supervisors can be more efficient and effective. Feedback at this stage does not necessarily require that the discussion be recorded. The second stage is a formal conversation that needs to be recorded as it unfolds. Staff members meet with their respective supervisors to discuss and reflect on their superiors’ impact during the evaluation period. The aim of these discussions is to provide supervisors with useful information on how to improve their performance.

A brief written account of this feedback, in the form of a report, is compiled against a set of management criteria. It is important that all applicable staff members sign this document. At the end, the supervisor and his/her superior must receive a copy of the report. This feedback becomes a valuable tool during the evaluation of supervisors. (SA DBE 2013).

According to an interview that was conducted during the current research, staff members never provide negative feedback about their supervisors in order to avoid conflict and victimisation. In reality supervisors barely take a look at these comments. Ideally, upward feedback must be a true reflection of what is being practised.

4.7 SUMMARY

Chapter Two conceptualised the concept of ‘office-based educators’ in the context of an education district, as well as the PMDS to provide the basis for the rest of the chapter. The chapter contextualised the development, strategies and institutions related to the PMDS. In this regard, the Delivery Agreement for the Basic Education Sector, the Action Plan 2019: Towards the Realisation of Schooling 2030, the DBE’s compliance with the MTSF Framework: Five-Year Strategic Plan 2014/15-2018/19, the Framework for Managing Programme Performance Information of 2007, the GWMES of 2004 and NEEDU were discussed. The chapter proceeded to discuss the significance of evaluating the performance of office-based educators. In line with this this, an in-depth analysis was provided of the processes associated with the PMDS for Office-Based Educators, including the development of work plans,
capabilities, ongoing reviews and feedback, quarterly reviews, annual performance appraisals, PDP and upward feedback.
CHAPTER FIVE

CONTEXTUALISING THE EMPIRICAL FINDINGS AND ANALYSIS

5.1 INTRODUCTION

In Chapter One of the present study, Section 1.4 presented the following research objective that was part of the research problem: ‘To determine how the empirical findings obtained from the responses during the interview process supported performance management and development, in general, and the PMDS in the Dr Ruth Segomotsi Mompati Education District in the North West Province, in particular’.

As asserted in Chapter One, interviews support the relevance of other information sources. However, utilising the exact material gathered from the interviews has its own advantages and disadvantages. A satisfactory response rate as avenue to clarify or explore the required information, observation of non-verbal behaviour, respondents’ spontaneity and the complexity of the probed questions during the interviews proved to be some of the advantages. These strengths add to the validity and reliability to the interviews outlined in this chapter.

On the other hand, this method has several disadvantages. Specific drawbacks include interviewee bias, a limited scope to analyse records during the interviews, costs associated with setting up and conducting, the limited availability of respondents and respondents who turn down requests to partake in the interview process. Interviewee bias can introduce errors and compromise the validity and the reliability of the acquired data. In line with this, Bailey (1994 in Auriacombe 2008:73) states that interviewee bias occurs “when an interviewee endeavours to answer in a manner that he or she thinks would please the researcher or that would be more socially or otherwise acceptable”.

Notably, the chapter will discuss the empirical aspects of the research interviews. Attention will be paid to the responses and subsequent findings to determine how the respondents perceived performance management in terms of the PMDS.
5.2 EMPIRICAL FINDINGS

For the current study, the researcher used a combination of open-ended structured questions. The questions included a combination of pre-developed questions, as well as questions that took shape during the interviews. Interviewees’ responses, as well as key findings are documented below:

5.2.1 Question One: The purpose of performance management

_In line with your understanding of Collective Agreement 3 of 2002, what is your perception of the purpose of performance management?_

5.2.1.1 Focus

Question One focused on respondents’ understanding of Collective Agreement 3 of 2002 (hereafter referred to as the Collective Agreement). The Collective Agreement took effect on 11 December 2002 and has been implemented to date. Respondents were requested to outline their understanding of the significance of the policy under investigation.

The Collective Agreement is a guiding policy document that aims to ensure that the DBE’s PMDS implemented correctly within the policy framework. It outlines the agreement’s purpose, namely to identify, evaluate and develop the performance of educators in an office-based scenario. Moreover, it underscores the importance of linking staff performance to a corporate plan. A corporate plan helps ensure that the collective agreements and objectives of the DBE is achieved and its values are practised (ELRC 2002).

Considering the above discussion, office-based educators’ participation in the PMDS supports many of the DBE’s objectives. This vision is enhanced by current developments in both the DBE and the Presidency. The department’s vision is guided by national and provincial strategic plans, while the Presidency is kept informed of new developments. In 2009, the Presidency established the Delivery Agreement between the President of the Republic of South Africa and the Minister of Basic Education. The Medium-Term Strategic Framework (MTSF), the UN MDGs and the NDP: Vision 2030 also pertain to the DBE. To help realise these goals, the
DBE published its ‘Action Plan to 2019: Towards the Realisation of Schooling 2030: Taking forward South Africa’s National Development Plan 2030’ in 2015. (These developments were discussed in detail in Chapter Three.)

The overall purpose of the PMDS must be understood within this framework. Also, the scheme prepares office-based educators to contribute meaningfully to the DBE’s mission and vision.

5.2.1.2 Key findings

The respondents reflected a broad understanding of the Collective Agreement. A more in-depth assessment of the responses highlighted two distinct indicators: Performance improvement was cited in conjunction with the corporate plan, which is encapsulated in the Collective Agreement and interventions following inferior performance.

To gain an in-depth understanding on the matter, the researcher contacted the Provincial Office for Teacher Development and interviewed experts on the matter. Valuable insight was provided by one respondent, Rafique Lucas, Provincial Coordinator and Acting CES for IQMS & PMDS.

In response to the direct question, “Can you come to a conclusion that office-based educators understand and conduct PMDS in accordance with the Collective Agreement 3 of 2002?”, Mr Lucas stated: “Some officials really do. A larger percentage is complying as expected. The challenge is to move beyond compliance so that it may impact on the quality of service that office-based educators render. In most instances, it becomes only a paper exercise”.

5.2.2 Question Two: The role of training

How often do you receive training as part of the PMDS?

5.2.2.1 Focus

Question Two focused on how often respondents received training as part of the PMDS. Furthermore, the aim was to deduce whether the training was adequate.
The Collective Agreement is not explicit regarding PMDSs. For example, it does not highlight how often training should take place, what the training should entail and the individuals who are responsible for ensuring that training structures in this place.

5.2.2.2 Key findings

All the respondents in the district stated that they had received training only once – soon after their appointment as office-based educators. At least 14 respondents commented that the Collective Agreement was insufficient.

A respondent from the Delareyville Sub-district presented a different view. She was delegated the responsibility of ensuring that the PMDS for office-based educators is implemented. During the interview, the respondent indicated that sub-district officials ask her to conduct training during quarterly and annual performance reviews and that she does that from time to time. She indicated that, despite these efforts, the officials’ performance has not improved. Moreover, she pointed out that she experienced a lack of commitment from the officials in the sub-district. For example, verification of submissions revealed that information was copied from other officials and reckless errors.

It was pointed out that a new appointment in the Department of Education and Sport Development takes would be taking effect from 1 December following the due recruitment processes. The provincial office in the Teacher Development Directorate handles such training and the implementation of performance management. Additionally, development of office-based educators also forms part of this job description.

5.2.3 Question Three: The role of the district

What is your perception of the district’s role in ensuring that the PMDS is implemented correctly and that office-based educators benefit from this role. Are you convinced that your supervisor is aware of this role?
5.2.3.1 Focus

Question Three focused on gaining more insight into respondents’ perceptions of the district’s role in ensuring that the PMDS was implemented correctly. Moreover, the question focused on whether office-based educators benefitted from the district’s role and whether supervisors are aware of this role.

5.2.3.2 Key findings

An overwhelming majority of respondents strongly agreed that the district did not play any role in ensuring that the PMDS was implemented correctly. Moreover, they were convinced that their supervisors were not aware of this role.

One respondent, Mr Mothibi Keetile, Senior Education Specialist for Curriculums, presented a different response. He was first appointed in Kagisano Molopo Sub-district, where he shared the same experience as the other respondents. After being transferred to the Taledi Sub-district, Mr Keetile discussed all matters of importance with his supervisor, including quarterly and annual performance reviews. Things changed when his supervisor was transferred to another district. Mr Keetile pointed out that the new supervisor had the same approach than the previous sub-district.

Efforts to obtain the viewpoint of the District Coordinator: Education in the Dr Ruth Segomotsi Mompati District Municipality was unsuccessful. As such, the following question was posed during the interview with Mr Lucas, Provincial Coordinator and DCES for IQMS & PMDS: “How is the capacity of districts and or district coordinators conducted to ensure that office-based educators benefit from improved performance as a result of the PMDS?” To that, Mr Lucas responded that, “Quarterly Provincial Steering Committee Meetings are convened where all matters relating to the implementation of PMDS policy is discussed. At such meetings, the PMDS coordinators from districts and the corporate centre present reports on the status quo of implementation of the policy and the challenges faced. The group discuss all matters and suggest viable solutions for implementation”.
5.2.4 Question Four: Benefits of the PMDS

Are you mindful and enjoy the benefit of PMDS which must occur by clarifying expectations or other benefits?

5.2.4.1 Focus

One of the main objectives of the PMDS is to identify, evaluate and develop staff performance. Staff members are expected to benefit in several ways. For example, expectations are clarified, efforts are recognised, performance-related feedback is given. Furthermore, there is a focus on improved training and development, as well as career planning. In line with this, Question Four focused on whether employees are aware of, and enjoy the benefits of the PMDS.

5.2.4.2 Key findings

Mr Keetile, Senior Education Specialist in the Taledi District, who was transferred to the sub-district from Kagisano Molopo Sub-district, provided the only positive indication that, at some point, he had the opportunity to engage with his supervisor in terms of clarifying expectations or other benefits. However, after being transferred to the Kenneth Kaunda District in 2016, this type of communication had stopped.

According to Mr Lucas, Provincial Coordinator and DCES for IQMS & PMDS (2013 to 2016), there has been an improvement in the commitment shown by the office-based educators and their supervisors in the district. However, he reiterated the fact that discussions did not always take place. Therefore, expectations were not always clarified, as expected. Moreover, he pointed out that certain work plans were not constructed in a manner which specified the standard of expected performance. This made the measuring of the performance challenging.

5.2.5 Question Five: Development of work plans

How is the development of work plans conducted in your unit or sub-directorate?
5.2.5.1 Focus

Question Five focused on how work plans were developed in respondents’ respective sub-directorates. In terms of the Collective Agreement, the work plan is considered as the basis for performance appraisals and builds on respective corporate, operational and action plans. As the strategic plan of the DBE, the work plan is informed by the Delivery Agreement between the President of the Republic of South Africa and the Minister of Basic Education, as well as the ‘Action Plan 2014: Towards the Realisation of Schooling, 2025’. The work plan is therefore linked to organisational requirements, such as establishing a signed job description.

5.2.5.2 Key findings

All respondents asserted to the availability of the work plan. They recalled that close attention was paid to the PMDS after being appointed. However, they pointed out that the plan had not been amended since then. Respondents indicated that they had never discussed their job descriptions with their supervisors. In fact, they stated that, during quarterly reviews, they signed the work plan without reading it, as required by the Collective Agreement.

5.2.6 Question Six: Usefulness of discussions with supervisor

Considering the discussion on prescribed capabilities between yourself and your supervisor at the beginning of the assessment period, do you find these discussions useful? Explain the way quarterly reviews are conducted and handled during the PMDS cycle? Also explain how they assisted you towards improved training and development and career planning?

5.2.6.1 Focus

In terms of the Collective Agreement 3 of 2002 (hereafter referred to as the Collective Agreement), supervisors and staff members should jointly review work plans and capabilities every three months during the PMDS cycle. The aim is to discuss progress, taking into account the circumstances that have changed since the beginning of the cycle. In line with this, Question Six focused on whether respondents viewed these discussions with supervisors as useful. Moreover, the
question aimed to gain insight into how these quarterly reviews were conducted, as well as whether it assisted respondents with career planning.

5.2.6.2 Key findings

Other than Mr Keetile’s response (also see 5.5.3 and 5.5.4), quarterly reviews were identified to be a matter of compliance. Respondents pointed out that officials completed the work plans, while the supervisors signed the forms without first reading them.

Respondents from the greater sub-district indicated that the Sub-district Manager would question the allocation of scores and argue without any reference that they were too high and had to be lowered. This was supported by Mrs Seemane, an office-based educator in the Inclusive Education Unit, who was transferred from the Taung Sub-district. For example, on humanitarian questions related to work ethics, she stated that she worked professionally and in harmony with her colleagues. However, Mrs Seemane indicated that both her supervisor and division manager disputed her scores on the basis that she was new to the division. She conceded but was unhappy with the scores.

the interview with Mrs Seemane highlighted that the prescripts of the Collective Agreement were overlooked when she was transferred to the Greater Taung Sub-district, where she left her IQMS post for that of Inclusive Education. Because her situation, the quarterly review should have been taken seriously. Undeniably, this is the best example of understanding the work plan, the capabilities and the changed circumstances.

5.2.7 Question Seven: Feedback recognition

Do you receive any form of recognition for your efforts and feedback on your performance?

5.2.7.1 Focus

In terms of the Collective Agreement, the PMDS has three main objectives. Taking a step back, the first two objectives of the PMDS play a key role in providing a complete picture of what the DBE hopes to achieve. Paramount to this picture is the
mission, objectives and the values that need to be institutionalised through the PMDS. Also, the scheme should identify, evaluate and develop staff benefits by clarifying expectations, recognising their efforts, providing feedback on their performance, as well as providing improved training and better career planning. Following the annual appraisal, the DBE pays a cash incentive to deserving employees. In line with this, Question Seven aimed to ascertain whether respondents received feedback on their performance and recognition for their efforts.

5.2.7.2 Key findings

Office-based educators play a significant role in encouraging the department’s workforce. However, none of the respondents could recall being recognised for their efforts at any given time. As such, the department should encourage them through some type of recognition.

5.2.8 Question Eight: Ongoing review against work plan

*How is ongoing review of performance against the work plan and capabilities monitored and do you consider it developmental?*

5.2.8.1 Focus

A brief overview on the DBE’s expectations constituted Question Eight. All of the respondents indicated the status quo in their districts and sub-districts.

5.2.8.2 Key findings

The interviews revealed that there was a lack of performance reviews to assess the work plans and work capacities. It was also established during the interviews that a lack of monitoring in the district was counterproductive in terms of development. However, respondents indicated that the provincial office instituted an element of monitoring, as provincial representatives visited districts after the submission of quarterly reviews and annual appraisals. Despite this, the interviews established that the provincial office did not pay attention to the quality of the content but focused on its compliance.
5.2.9 Question Nine: Procedure of annual performance appraisal

How is the annual performance appraisal conducted between yourself and your supervisor?

5.2.9.1 Focus

Question Nine aimed to gain insight into the annual performance appraisal process. More specifically, how were appraisals conducted between supervisors and respondents?

5.2.9.2 Key findings

All the respondents asserted that the annual performance appraisal was done to ensure compliance. The respondents stated that there was no form of engagement with supervisors; the supervisors merely signed the documents. At times, the supervisors stated that staff members’ scores had to be reduced without giving a clear explanation. The respondents pointed out that certain discrepancies were picked up by the province during the monitoring, verification and moderation process, where after documents were returned to the district for correction.

Mr Lucas, Provincial Coordinator and DCES for IQMS & PMDS, shared provided insight into the implementation, challenges and subsequent impact on key PMDS principles. Mr. Lucas also referred to the process of moderating and verifying PMDS processes, as required by his job description. The main challenges identified were late submissions, incorrect transfer of ratings, high overall scores and comments that were not comprehensive enough to justify the allocated ratings.

Moreover, Mr Lucas pointed out that certain office-based educators did not submit their documents during verification processes such as the quarterly reviews, but did so during the final submissions. Due to deadlines, the IQMS/PMDS Sub-directorate could not undertake a second round of verifications. As such, their documents were not subject to the prescribed quality-assurance processes. It is therefore expected from the supervisors to verify the documents before submitting them to the sub-directorate. According to Mr. Lucas, this has a negative impact on the principle that encourages regular and honest feedback.
Participative processes rest on the principle of minimising subjectivity through openness and discussion. Through the interviews, it became evident that discussions did not always take place. Documents were prepared by office-based educators, where after certain supervisors merely approved them.

5.2.10 Question Ten: Legitimacy of work plan rating

*Notwithstanding the changed circumstances in your job description, do you consider the work plan rating legitimate?*

5.2.10.1 Focus

Question Ten focused on whether respondents viewed their work plan ratings as legitimate, despite changed circumstances relating to their job descriptions.

5.2.10.2 Key findings

All the respondents confirmed to the fact that work plan ratings were merely implemented for the sake of compliance. None of the respondents recalled a time when an attempt was made to compare work plan ratings against job descriptions. Neither did the respondents recall going through reports (e.g., monitoring and monthly reports) with their supervisors to establish whether they had performed all the established duties as per their respective job descriptions.

However, a few respondents indicated that some of the supervisors in the districts and sub-districts would, at times, argue against the legitimacy of scores, stating that the ratings were too high. However, the interviews established that there had not been any tangible or concrete basis for this argument.

During the interviews, it was established that 7 of the 15 respondents had been transferred to the Dr Ruth Segomotsi Mompati Education District, either from another district or sub-district. These transfers led to office-based designations that differed from their previous positions. At least three of these respondents were not only were transferred from the Northern Cape Province, but also received a completely new designation. The interviews established that the PMDS process did not assist them with settling into a relatively new environment.
5.2.11 Question Eleven: Remedial action for bad ratings

Was there a stage where your performance was found to be unacceptable or poor? If so, what was the remedial action?

5.2.11.1 Focus

According to the Collective Agreement, both managers and staff must be aware of poor performance well before formal quarterly or annual appraisals. The Collective Agreement suggests that supervisors provide feedback and counselling regarding poor performance on a daily basis. Thus, corrective action needed to commence as soon as poor performance is identified. In line with this, Question Eleven focused on whether respondents’ performance had been substandard at any point in time and whether remedial action had been taken.

5.2.11.2 Key findings

None of the respondents indicated that their performance had ever been identified as ‘poor’ by their supervisors. In essence, this pointed to the fact that supervisors did not pay attention to the PMDS. They only provided their approval and would therefore not notice poor performance.

5.2.12 Question Twelve: Performance development plans

Considering the identification of training needs (i.e., skills gaps) arising from appraising performance against the work plan or the capabilities and training needs for your current job, has there been a discussion regarding the PDP at the end of the PMDS cycle?

5.2.12.1 Focus

The Collective Agreement stipulates that there should be a PDP discussion between respective staff members and their supervisors after the annual appraisal. This discussion is necessary, as it focuses on skills gaps arising from the work plan or from the employee’s current job description. In line with this, Question Twelve investigated whether respondents had been part of any discussion regarding the PDP at the end of the PDMS cycle.
Only one respondent stated that she had had a discussion with her supervisor in this regard. All the other respondents indicated that such discussions had never taken place.

5.2.13 Question Thirteen: Further career plans and development

Have you experienced facilitation of career plans and further development needs for the staff based on your annual performance appraisal? If yes, please elaborate.

5.2.13.1 Focus

The Collective Agreement states that the PDP must include discussions on career plans and employees’ developmental needs. Question Thirteen focused on ascertaining whether this was, in fact, the case.

5.2.13.2 Key findings

All the respondents claimed that there had never been any discussions on career-related matters like future plans and developmental needs after an annual performance appraisal.

5.2.14 Question Fourteen: Training and development

Have you received training and development of any kind by the department? If so, was it related to PMDS?

5.2.14.1 Focus

The Collective Agreement views the PDP as one of the key outcomes of the PMDS, as it focuses on improving performance. As such, it must identify and action any training needs such as skills gaps that were highlighted during the performance appraisal. Question Fourteen investigated whether respondents received training and development as part of the PDMS.

5.2.14.2 Key findings

All respondents indicated that they completed PDPs, as required by the PMDS and depending on their respective needs. However, they stated that PDPs were
completed independently and that supervisors did not play any part in the process. Some of the respondents noted that they included training needs based on their personal requirements and aspirations. They stated that these requirements were not necessarily based on the outcome of quarterly reviews or annual appraisals or whether they have already received or are currently receiving such training.

A respondent from the Tswaing Sub-district indicated that the department had provided training based on her PDP. She indicated that her training constituted monitoring, evaluation, facilitation and project management. A respondent from the Taledi Sub-district stated that she had received training on facilitation, as per her PDP. Another respondent from the Tswaing Sub-district received training in diversity management, which was not mentioned in his PDP.

Many respondents stated that they received quality, accredited training through HRD. However, they pointed out that it was not as a result of PMDS. Other respondents indicated that they never received any form of training and development based on the PMDS. Other respondents asserted that they were uncertain why they were included in specific training and development initiatives and what the purpose of these initiatives were. For instance, employees would receive a call from the district office informing them that they had to go for training which had already commenced a few days earlier. As some of the office-based educators could not attend the training, the district had to “fill the gaps to avoid fruitless expenditure”. In some cases, this call would coincide with the needs articulated in the PDP.

Mr Sechele, the NWDESD DCES for Skills Development Services in the HRD Directorate, responded to these views by indicating that the Directorate had assumed that different units within the department had submitted training needs, as per the previous year's PMDS. Therefore, they did not insist on districts submitting any proof of the aforementioned. He pointed to new protocol, which stated that submissions for December had to be accompanied by a list of beneficiaries and proof of PDPs to outline the training needs. This was seen as a positive development, as it would assist the HRD Directorate in ensuring that needs were attended to accurately, as indicated in various PDPs.
However, Mr Sechele pointed out that there were challenges regarding meeting training needs. The Provincial Skills Development Committee includes a variety of stakeholders and is responsible for prioritising the entire province’s work skill plans. Needs are prioritised due to the allocation of a limited budget.

Respondents stated that prioritisation was never communicated to office-based educators after submitting the three quarterly reviews of the academic year. Thus, they were unaware that certain needs were omitted from their work skills plans. Thus, everything depends on the budget and the relevance of needs.

Mr Sechele pointed to a challenge that the HRD Directorate streamlined. Prior to 2011, training needs were submitted in January, whereas the annual performance appraisal ended in March. Due to this anomaly, the training needs for office-based educators could not be attended to. Another challenge within the HRD Directorate was how office-based educators articulated their training needs in their PDPs. As they were not always eloquent and thoughtful, their requests were expressed differently in their work skills plans. A milestone in this regard was that the HRD Directorate decided to provide comprehensive programmes particularly for office-based educators.

Mr Lucas, Provincial Coordinator and DCES for IQMSs & PMDS, stated that training and development was complicated and involved several challenges. Firstly, office-based educators failed to realise that training and development could take place at various levels. He pointed out that office-based educators could empower themselves in certain areas but that many only opted for accredited training. Secondly, he stated that the allocated budget was insufficient to cover accredited training and development. Only 1% of the wage bill was set aside for such training and could therefore not cater for every identified need. Thirdly, Mr Lucas mentioned that certain needs could be met through mentoring and coaching from fellow colleagues and supervisors.

Responses from office-based educators highlighted that the implementation of PMDS was flawed, as supervisors often failed to pay critical attention to PMDS processes. Therefore, office-based educators could not be blamed for a lack of skills.
Based on the aforementioned, it became evident that the process of identifying training and development needs was flawed based on office-based educators’ understanding thereof. As a result, the analysis, capturing and roll-out of such training and development also became challenging.

Without any exception, Mr Lucas concluded that, in as far as training and development was concerned, he did not believe that the NWDESD was capable of fulfilling this PMDS goal in the Dr Ruth Segomotsi Mompati, Dr Kenneth Kaunda, Ngaka Modiri Molema and Bojanala Districts.

In an effort to establish the Provincial Sub-directorate: IQMS/PMDS’s role in training and development, Mr Lucas indicated that it was limited to requesting and receiving the identified needs. The sub-directorate also analysed needs to a limited extent and forwarded requests to the relevant HR section. The sub-directorate designed a template that helped to capture needs. The sub-directorate tried to ensure that the template was completed on time to ensure that the needs were captured in the workplace skills plans of the provincial department.

Mr Lucas indicated that it has come to the sub-directorate’s attention that a monitoring tool needed to be developed to determine the extent to which individuals’ needs were met during the following PMDS cycle. In the past, the sub-directorate had expected the HR section dealing with skills development to report on the submitted needs and the training and development offered. However, their reports were vague regarding which office-based educators received training and development and how it related to the requests that were received.

When asked about the manner in which the provincial HRD addressed office-based educators’ training requirements after the annual performance appraisal cycle, Mr Lucas indicated that district coordinators submitted requests on a Microsoft Excel template. The sub-directorate then conducted a brief analysis to ascertain the number of office-based educators who requested similar skills development training. Thereafter, an electronic database was developed and sent to the provincial Skills Development Facilitator to be included in Annexure 2 of the Provincial Skills Development Plan. As a member of the Provincial IQMS/PMDS Steering Committee
the Skills Development Facilitator reported on provincial development and training initiatives on a quarterly basis.

Ms Mosweu, Assistant Director: HRD in the Dr Ruth Segomotsi Mompati Education District provided insight into HRD-related challenges pertaining to training and development. Firstly, Ms Mosweu stated training and development for office-based educators’ takes long due to budget constraints. As a result, only a limited number of candidates is considered for training and development. The remainder of candidates were earmarked for training at a later stage whenever the budget allows, which defeats the purpose of PMDS. Secondly, she pointed out that office-based educators tended to request training based on their personal interests, not their jobs. She indicated that HRD was not limited to office-based educators’ PDP-based training needs. There were also training programmes based on the provincial and national priorities, which were not derived from PMDS.

5.2.15 Question Fifteen: Preparation for higher positions and better skills

*Has the PDMS broadened your skills base so that you are more prepared to fulfil your current job description? Also, has it prepared you for higher-level positions or future jobs?*

5.2.15.1 Focus

The Collective Agreement states emphatically that improved training and development is not enough. With the implementation of PMDS, office-based educators’ skills must be honed through career-mapping and development initiatives. As such, Question Fifteen set out to determine whether the PDMS has broadened respondents’ skills base to fulfil their current job descriptions, as well as whether it has contributed to their career prospects and development.

5.2.15.2 Key findings

During the interviews it became evident that the district did not focus on facilitating career planning through the PMDS, as outlined in the Collective Agreement. Only two respondents were able to shed light on this important feature of the Collective Agreement.
An office-based educator from the Tswaing Sub-district indicated that she had received important training in facilitation, project management, assessment and M&E, which was indicated in her PDP. The respondent stated that she was satisfied with the implementation of the PDP. She acknowledged that the training had equipped her in terms of career planning and future jobs. However, the respondent conceded that her PDP was never discussed with her supervisor at any given time.

The second respondent, a DCES in the Taledi Area, stated that she had received ODET training, as per her PDP request. She expected the training to contribute immensely to her career development and the pursuit of future jobs.

5.2.16 Question Sixteen: Supervisory responses on feedback

*Has your supervisor ever given you or your colleagues in your unit a response on upward feedback?*

5.2.16.1 Focus

Upward feedback is one of the seven key processes within the PMDS cycle. In terms of the Collective Agreement, this form of feedback gives the office-based educator under review, be it during the quarterly review or annual performance appraisal, the opportunity to share thoughts and experiences regarding the supervisor’s current management style and possible improvements that could be made. Question Sixteen investigated whether this practice was implemented.

5.2.16.2 Key findings

The interviews suggested that, as a rule, upward feedback did not occur in the Dr Ruth Segomotsi Mompati Education District. One respondent from the Taledi Sub-district indicated that due processes included upward feedback. However, she noted that supervisors did not consider upward feedback that pointed to weaknesses or areas that needed improvement.

5.2.17 Question Seventeen: Impact of participation in the PMDS

*What impact have you made in your area of specialisation since participating in the PMDS?*
5.2.17.1 Focus

Improving learners’ results is a focus area within the DBE. In her address to the National Council of Provinces (NCOP) in 2005, former Minister of Basic Education, Naledi Pandor rightfully stated that “...education can only be judged by educational performance. This means that we produce children who can read, who can write, who are numerate and who are able to hold their own in any academic task”.

The impact and collaborative effort of office-based educators must be understood within this context. Office-based educators form part of various sections such as Special Projects, Inclusive Education, IQMS, Curriculum & Support, Institutional Support and the Education Management and Governance Directorate (EMGD) that focus on supporting curriculum delivery.

In terms of the Collective Agreement, the PMDS’s objectives are based on the DBE’s mission. It aims to achieve high-quality results through office-based educators who employ an effective work culture, as reflected in the DBE’s values. To this end, Question Seventeen meted whether respondents believed that they had made an impact in their area of specialisation since participating in the PMDS.

5.2.17.2 Key findings

While respondents expressed their commitment to the DBE’s mission and vision, they could not link it to the PMDS. While they stated that the DBE had contributed significantly to providing training opportunities, it was not necessarily because of the PMDS. Respondents from the Taledi and Delareyville Sub-districts stated that they had received accredited training in facilitation which they indicated in their PDPs during one of their annual performance appraisals. They stated that the training had given them the skills to conduct professional meetings and teacher development workshops.

5.2.18 Question Eighteen: Improvement of curriculum delivery

In your opinion, has the PMDS enabled you to improve the course of curriculum delivery in the district?
5.2.18.1 Focus

Office-based educators are expected to advance the course of curriculum delivery in their districts. As indicated in Question Seventeen, the success of schooling can only be judged by educational performance. Based on their job descriptions, the office crew is expected is to rally behind the DBE’s curriculum unit to improve its core functions. Thus, Question Eighteen focused on whether the PMDS has helped their efforts to improve curriculum delivery their respective districts?

5.2.18.2 Key findings

All the respondents concurred to having a positive attitude towards the due course of curriculum delivery. They indicated that this was largely aided by job-related development, initiatives by the National DBE and provincial Sector Education and Training Authorities (SETAs). However, the interviews highlighted that the PMDS did little, if anything, to assist the office-based educators in advancing the course of curriculum delivery in the district.

With regard to the NWDESD’s mandate, Mr Lucas, Provincial Coordinator and DCES for IQMSs & PMDS, believed that the PMDS could be an effective tool to facilitate efficient service delivery.

Mr Lucas stated that many officials were unaware of the PDMS’s benefits and viewed it as a “paper exercise”. Therefore, they did not utilise it to full capacity. (During the course of the interviews, many officials remarked on its potential value, if implemented properly.)

He highlighted that the true value of the PMDS was to ensure an improvement in performance. In fact, without PMDS, it would be difficult to review performance. As such, Mr Lucas believed that once all supervisors viewed it as an integral part of management and not an add-on function, they would see a vast improvement in staff members’ performance.
5.2.19 Question Nineteen: Contributions of PMDS

Do you feel you are an improved, trained and developed office-based educator because of PMDS?

5.2.19.1 Focus

The ultimate purpose of the Collective Agreement is to identify, evaluate and develop office-based educators’ performance (ELRC 2002). As such, the concluding question posed to respondents aimed to ascertain whether they felt that the PDMS has developed their capacity to be good office-based educators.

5.2.19.2 Key findings

The respondents confirmed that the DBE at large has gone to great lengths to improve and develop office-based educators. However, they stated that very little training progress could be attributed to the PMDS. The respondents stated that their skills range had been improved and developed through a wide range of training programmes offered by the DBE and not through the PDMS.

5.3 SUMMARY

The chapter outlined the empirical findings of the research interviews to determine how respondents perceived ‘performance management’ within the context of the PDMS for Office-Based Educators.
CHAPTER SIX

SYNTHESIS, CONCLUSIONS AND PROPOSALS

6.1 INTRODUCTION

This dissertation focused on performance management, in general, and the implementation of the PMDS for Office-Based Educators in the Dr Ruth Segomotsi Mompati Education District in the North West Province, in particular. It explored, described and explained several variables and aspects of theoretical understanding and practical application of performance management and development from the perspective of an education department in a provincial government.

Chapter Six offers a synthesis and assessment of the research questions, research objectives and key conclusions of the current study. The concepts, context, theories, philosophies, assumptions and applications that were highlighted in the previous chapters are consolidated to draw conclusions and develop proposals based on the problem statement.

The study used a qualitative research approach and applied a combination of mixed unobtrusive research techniques to gain insight into the topic under investigation, namely the PDMS for Office-Based Educators. The methods were triangulated to validate the research approach, where after they were applied by drawing on government legislation, strategies and frameworks from official documents, as well as literature on performance management and development, with specific reference to the appraisal systems of office-based educators.

In the introductory chapter, the following primary guiding research question was posed (see Section 1.3): ‘What are the variables influencing an effective PMS, in general, and the PMDS, in particular, and which practical actions can be taken to improve performance management and development for office-based educators in the North West Province?’

This research question was at the core of the problem statement, as discussed in Chapter One (see Section 1.2). To make the research more efficient and to interrogate the problems identified in this minor dissertation, the study was
subdivided into several research questions (see Section 1.3) and research objectives (see Section 1.4).

The primary and secondary questions were discussed and analysed in the preceding chapters.

6.2 SYNTHESIS AND FINDINGS OF THE RESEARCH OBJECTIVES

Information was collected to address the following research objectives: (see Section 1.4)

- To discuss the conceptual, contextual, statutory and regulatory variables influencing performance management in the South African Public Sector.
- To determine how the performance management phenomenon developed in South Africa.
- To highlight international best practices, theories, tools and models of performance management.
- To determine how performance management and development of office-based educators are executed in terms of the variables influencing the application and compliance of the PMDS in an education district?
- To determine how the empirical findings obtained from the responses during the interview process supported performance management and development in general and the PMDS in the Dr Ruth Segomotsi Mompati Education District in the North West Province, in particular.

This was done individually and/or collectively to ensure that the study is viewed as an interrogation of a process and not only as an analysis based on information obtained from the chapters where these objectives are addressed.

6.2.1 Chapter One: General introduction and scientific orientation.

Chapter One provided a general introduction and scientific orientation to the research study. This can be seen as an operationalisation of a generic analytical
framework to assess the merits and demerits of the PDMS and to ascertain whether the system contributed to performance management and development of office-based educators in an education district.

Therefore, Chapter One provided the background, rationale and the problem statement of the study. The primary guiding research question, as well as the secondary research questions were linked to the study’s research objectives. In line with this, the scientific and methodological approach to the research study was discussed. As the research design forms the basis of any empirical study, this aspect was contextualised according to unobtrusive research methods. Furthermore, the importance of the literature review, data collection methods and documentary and literature sources were outlined. Moreover, an outline of interviews, with specific reference to open-ended interviews, was discussed. Moreover, sampling procedures, selection of a research setting and the related methodology were outlined. In conclusion, a definition of key terms and ethical considerations were provided.

6.2.2 Chapter Two: Conceptual, contextual, statutory and regulatory variables influencing performance management in the South African public sector.

Chapter two attempted to answer the following secondary research questions (see Section 1.3):

- What do the concepts of ‘performance’, ‘performance management’ and ‘performance measurement’ entail?
- What are the elements of performance management?
- Why is performance management in the South African Public Service important?
- What does the statutory and regulatory framework for HRM, in general, and performance management, in particular, entail?
Chapter Two outlined the conceptual, contextual and regulatory variables influencing performance management in the public sector. The chapter commenced by conceptualising 'performance management', where after the link between performance measurement and performance management was discussed. Hereafter, they key elements of performance management was outlined, with specific reference to performance appraisals, training and development, monitoring progress, identifying development needs.

The chapter then proceeded to discuss performance management in the South African Public Service, as well as the related statutory and regulatory framework for performance management. Performance management in the South African Public Service is established within a statutory and regulatory framework. In terms of the statutory framework, attention was paid to the Constitution, 1996; the Public Service Act, 1994; the LRA 1995; the Basic Conditions of Employment Act, 1997; the Skills Development Act, 1998; the Skills Development Levies Act, 1999; the Employment of Educators Act, 1998; and the PFMA, 1999. In terms of the regulatory framework, the chapter discussed the RDP White Paper, 1994; the Public Service Regulations, 2001, the MTSF and the NDP: Vision 2030.

6.2.3 Chapter Three: Contextualising perspectives on the South African development of performance management and selected international best practices.

Chapter Three aimed to clarify the following secondary research questions (see Section 1.3):

- How did performance management develop internationally and nationally?
- What do international best practices of performance management entail?
- What do international theories, tools and models of performance management entail?

Chapter Three contextualised perspectives on the development of performance management and selected international best practices. The chapter commenced with a historical perspective of performance management. Hence, a global
perspective of the development of performance management was provided. In line with this, the development of performance management in South Africa, the US, the UK, China and Brazil was discussed.

Furthermore, international theories, tools and models for performance management were outlined. This included the balanced scorecard, TQM, Six Sigma, the European Foundation for Quality Management and the Five-Factor Performance Management Model. Moreover, it emphasised the link between individual and organisational performance. It became clear that performance management models support the corporate strategy. Thus, the mission of a public institution can only be realised by implementing the right strategic management framework.

6.2.4 Chapter Four: Conceptualising and contextualising the variables influencing the Performance Management and Development Scheme for Office-Based Educators.

Chapter Four aimed to clarify the following secondary research questions (see Section 1.3):

- What does the concept ‘office-based educator’ entail in the context of an education district?
- What does the nature of PMDS entail?
- Which strategies, frameworks and institutions are related to the implementation of the PMDS?
- Why is it important to evaluate the performance of office-based educators?
- What are the processes associated with the PMDS for office-based educators?

Chapter Four focused on conceptualising and contextualising the variables influencing the PMDS for Office-Based Educators. The chapter commenced with conceptualising the term ‘office-based educator’ in an education district. After conceptualising the PDMS for Office-Based Educators, the development, strategies, frameworks and institutions related to the PMDS were contextualised. In line with
this, the Delivery Agreement for the Basic Education Sector, the Action Plan 2019: Towards the Realisation of Schooling 2030, the DBE’s compliance with the MTSF Framework: Five-Year Strategic Plan 2014/15-2018/19, the Framework for Managing Programme Performance Information of 2007, the GWMES of 2004 and NEEDU were outlined. Hereafter, the chapter proceeded to discuss the importance of evaluating the performance of office-based educators. Based on the aforementioned, the processes associated with the PMDS for office-based educators, namely developing work plans, capabilities, ongoing review and feedback, quarterly reviews, annual performance appraisals, PDP and upward feedback, were outlined.

6.2.5 Chapter Five: Contextualising the empirical findings and analysis.

This chapter explored the implementation of PMDS for office-based educators by evaluating the effectiveness of this policy in the Dr Ruth Segomotsi Mompati District in the North West Province and by assessing the work of the Chief Directorate: Quality Assurance, which is responsible for the implementation of this scheme.

Chapter Five focused on the empirical aspects of the research interviews. The responses and subsequent findings of the interviews were discussed to determine how the respondents perceived performance management in terms of PMDS.

Question One focused on respondents’ understanding of Collective Agreement 3 of 2002. Respondents were requested to outline their understanding of the significance of the policy under investigation. As a guiding policy document, the Collective Agreement aimed to ensure that the DBE’s PMDS was implemented correctly.

The respondents reflected a broad understanding of the Collective Agreement. Performance improvement was cited in conjunction with the corporate plan, which were encapsulated in the Collective Agreement and interventions following inferior performance.

The Collective Agreement was not explicit on PMDS training. To this end, Question Two focused on how often respondents received training within this framework. Furthermore, the aim was to deduce whether the training was adequate. The respondents stated unanimously that they had received training only once – soon
after their appointment as office-based educators. At least 14 respondents commented that the Collective Agreement was insufficient.

Question Three focused on gaining more insight into respondents’ perceptions of the district’s role in the correct implementation of the PMDS. Moreover, the question focused on whether office-based educators benefitted from the district’s role and whether supervisors were aware of their role in the process. Most respondents strongly agreed that the district had failed to play a role in ensuring that the PMDS was implemented correctly. Moreover, they were convinced that their supervisors were unaware of their role in this process. Where there were exceptions, it became clear that engagement depended on the supervisor’s approach.

One of the main goals of the PMDS was to identify, evaluate and develop staff performance. In line with this, Question Four focused on whether employees are aware of and enjoy the benefits of the PMDS. According one interviewee, office-based educators and their supervisors in the district had shown an improved commitment to the PDMS. However, discussions did not always take place and expectations were not always clarified.

In terms of the Collective Agreement, the work plan formed the foundation of performance appraisals and built on respective corporate, operational and action plans. Thus, Question Five focused on the development of work plans in respondents’ respective sub-directorates. Respondents recalled that close attention was paid to the PMDS after being appointed. However, they pointed out that the plan had not been amended thereafter. Moreover, respondents indicated that they had never discussed their job descriptions with their supervisors.

In terms of the Collective Agreement, supervisors and staff members had to jointly review work plans and capabilities every three months during the PMDS cycle. In line with this, Question Six focused on whether respondents viewed these discussions with supervisors as useful. Moreover, the question aimed to gain insight into how these quarterly reviews were conducted, as well as whether it supported career planning. It was pointed out that officials completed the work plans, while the supervisors signed the forms without first reading them. Respondents from the
greater sub-district indicated that the Sub-district Manager would question the allocation of scores and argue that they were too high and needed to be reduced.

The Collective Agreement stated that the PMDS needed to identify, evaluate and develop staff benefits by clarifying expectations, recognising their efforts, as well as providing performance-related feedback on their, as well as improved training and career planning.

In line with this, Question Seven tried to deduce whether respondents received feedback on their performance and received recognition for their efforts. None of the respondents could recall being recognised for their efforts at any given time.

A brief overview on the DBE’s expectations constituted Question Eight. All the respondents indicated the status quo in their districts and sub-districts.

The interviews highlighted a lack of performance reviews to assess the work plans and work abilities. It was also established that a lack of monitoring in the district compromised development. However, respondents indicated that the provincial office instituted an element of monitoring, as provincial representatives visited districts after the submission of quarterly reviews and annual appraisals.

Question Nine focused on the annual performance appraisal process. More specifically, how were appraisals conducted between supervisors and respondents? Through the interviews, it became clear that discussions did not always take place. Office-based educators prepared documents, where after certain supervisors merely approved them.

Question Ten focused on whether respondents viewed their work plan ratings as legitimate, despite changed circumstances relating to their job descriptions. Respondents stated unanimously that work plan ratings were implemented for the sake of compliance. None of the respondents recalled that an attempt had ever been made to compare work plan ratings against job descriptions. Neither did the respondents recall going through reports (e.g., monitoring and monthly reports) with their supervisors. According to the Collective Agreement, both managers and staff had to be aware of inferior performance well before formal quarterly or annual
appraisals. Question Eleven focused on whether respondents’ performance had been found sub-standard at any point in time and whether remedial action had been taken.

None of the respondents indicated that their performance had ever been identified as ‘poor’ by their supervisors. This pointed to the fact that supervisors did not pay attention to the PMDS. The Collective Agreement stipulated that a PDP discussion should take place between respective staff members and their supervisors after annual appraisals. In line with this, Question Twelve investigated whether respondents had been part of such a discussion at any point in time.

The Collective Agreement also stated that the PDP should include discussions on career plans and employees’ developmental needs. Question Thirteen focused on ascertaining, whether this was, in fact, the case. The interviews highlighted that none of the respondents had ever been part of a discussion on career-related matters like future plans and developmental needs after an annual performance appraisal.

The Collective Agreement viewed the PDP as one of the key outcomes of the PMDS. As such, it needed to identify and action any training needs that were highlighted during performance appraisals. Question Fourteen investigated whether respondents received training and development as part of the PDMS. Responses from office-based educators highlighted that the implementation of PMDS was flawed, as supervisors often failed to pay critical attention to PMDS processes.

The Collective Agreement stated emphatically that improved training and development was insufficient. With the implementation of PMDS, office-based educators’ skills needed to be honed through career-mapping and development initiatives. As such, Question Fifteen set out to determine whether the PDMS had broadened respondents’ skills base to fulfil their current job descriptions, as well as whether it had contributed to their career prospects and development. The interviews revealed that the district did not focus on facilitating career planning through the PMDS. Only two respondents were able to shed light on this important feature of the Collective Agreement.
Upward feedback was one of the seven key processes within the PMDS cycle. Question Sixteen investigated whether this practice was implemented. The interviews suggested that, as a rule, upward feedback did not occur in the Dr Ruth Segomotsi Mompati Education District.

In terms of the Collective Agreement, the PMDS’s objectives were based on the DBE’s mission to create a positive, productive work culture. To this end, Question Seventeen meted whether respondents believed that they had made an impact in their area of specialisation since participating in the PMDS. While respondents expressed their commitment to the DBE’s mission and vision, they could not link it to the PMDS. While they stated that the DBE had contributed significantly to supplying training opportunities, it could not necessarily be attributed to the PMDS.

Office-based educators were expected to advance the course of curriculum delivery in their respective districts. Thus, Question Eighteen focused on whether the PMDS had supported their efforts in this regard? The respondents agreed that they had a positive attitude towards the due course of curriculum delivery. They indicated that this was largely aided by job-related development initiatives by the national DBE and provincial SETAs. However, the interviewees highlighted that the PMDS did little, if anything, to assist them in advancing the course of curriculum delivery in the district.

The ultimate purpose of the Collective Agreement was to identify, evaluate and develop office-based educators’ performance (ELRC 2002). As such, the concluding question posed to respondents aimed to learn whether they felt that the PDMS had developed their capacity as good office-based educators. The respondents confirmed that the DBE at large had gone to great lengths to improve and develop office-based educators. However, they said that very little training progress could be attributed to the PMDS.

6.3 CONCLUSIONS AND PROPOSALS

Since its inception, performance management has evolved around the world. Emanating from the private sector (particularly in business) it has been adopted by the public sector. Current literature suggests that performance management has contributed immensely to both political and economic transformation throughout the
world. The OECD has advocated that its member countries adopt performance management. The fact that OECD member states such as the UK and the US, also depicted as the ‘fathers of performance management’- support for its implementation confirms that performance management is worth being emulated by other states in the world. The adoption of performance management has spread the post-independent countries around the world, especially on the African continent. South Africa also adopted performance management in 2002 in its quest for political and economic transformation. ‘Performance’ is a multi-dimensional and multi-faceted concept. It enhances the overall effectiveness and efficiency of government. Both individuals and organisations contribute to successful governance. In pursuit of development and successful public service delivery, notwithstanding the responsible usage of public and economic resources, performance in government becomes an important phenomenon.

The current state of knowledge demonstrates the importance of evaluating performance in the public service and the role that departments can play in ensuring that employees benefit from training, development and career planning as a result of performance management. An in-depth understanding of how the process of implementation is carried out and how individuals perceive it, will benefit government departments at large. Comparing their own efforts with the findings in this minor dissertation and subsequently trying to improve their implementation of performance management will help enhance service delivery Performance management is a crucial aspect of transforming the public administration and public service. Thus, performance management must be nurtured, taught, disseminated as a culture. Furthermore, it should be assessed, appraised and emulated.

The success of a PMS lies in top management’s ability to ensure that employees are kept motivated through feedback on performance measurement, training needs assessments and rewards for excellent performance. Therefore, performance recognition is very crucial in HRM. Thus, a management accounting system must be in place to realise the mission statement.

The demand for effective and efficient service delivery has intensified since the Fifth Parliament of theRSA placed pressure on public sector institutions to meet the basic
education needs of citizens. The RDP White Paper, 1994 mandates all government departments to play a significant role in realising these aspirations. The DBE is no exception to this critical demand. The DBE is confronted by transformation. The most notable challenge is the ailing basic education system which is struggling to help eradicate poverty in South Africa.

Against this background, the researcher argued that PMDS for Office-based Educators is designed to evaluate and improve the performance of these educators. On the contrary, the DBE faces the challenge of improving the quality of basic education. The fact that the quality of basic education has been questioned by various and well-documented sources, including the media and DBE itself, raises concerns about the role of office-based educators in improving the quality of basic education. It seems as if there is a disjuncture between the PMDS for Office-Based Educators and their role in improving the quality of basic education. The PMDS for Office-Based Educators is a critical management practice with their South African basic education sector.

According to the Employment of Educators Act, 1998, office-based educators should support and facilitate curriculum delivery in different ways and according to the responsibilities of various positions within the post. To ensure that the DBE’s mission and objectives are achieved, staff members must be aware of the DBE’s expectations, as well as receive recognition for their efforts, feedback on their performance, improved training and development, and enhanced career planning. In 2002, the former DET (now the DBE) published the Collective Agreement 3 of 2002 to evaluate the performance of office-based educators. The Collective Agreement 3 of 2002 entails a detailed policy regarding the PDMS for office-based educators.

The study was based on the DBE’s existing official documents, as well as local and international educational and public management research studies. These studies revealed a decline in the standard of teaching and learning in South Africa. In 2012 and 2013, NEEDU published reports on the poor quality of basic education, which implicated office-based educators in the ailing standards within the basic education sector.
The rationale of this study was premised on the fact that the Fifth Administration of the Republic of South Africa had vowed in 2009 to change the landscape of basic education, by aligning it to the NDP: 2030. As a result, government has prioritised basic education since 2010. The contention in this study is constructed on the existing official documents in the DBE, educational and public management research studies in South Africa and globally. These studies reveal a decline in the standard of teaching and learning in South Africa. NEEDU published reports in 2012 and 2013 on the quality of basic education. Local and international research studies highlight that the biggest challenge of curriculum delivery is in the areas of mathematics, science and reading in lower grades. From this perspective, the quality of basic education is in a crisis and office-based educators are viewed as culprits.

The available literature on both the case study, the PMDS and other resource material, such as the responses during the interviews, suggest that the PDMS for Office-Based Educators plays a crucial role in the transformation of basic education in South Africa. Thus, the PMDS is one of the reforms that can help identify, evaluate and develop the performance of office-based educators and hold them accountable for their actions.

The South African government views the challenges of basic education in a serious light and has demonstrated its will to improve the quality of education. In dealing with the case study of performance management and the PMDS, it was found that the PMDS has the potential to hold office-based educators accountable for poor performance and on the same level reward those who are dedicated to improving basic education. Training and development play a key role in preventing poor performance. To improve employee performance and development, the author makes the following proposals:

A proper monitoring system must be implemented to ensure that the education district supervisors responsible for the PMDS are:

- accountable in terms of their performance appraisals of office-based educators;
- office-based educators are meeting their performance objectives;
• office-based educators have opportunities for learning, training and development; and

• office-based educators are trained to make qualified decisions within their level of competencies.
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