



**AN INVESTIGATION INTO THE IMPLEMENTATION OF THE
EMPLOYEE PERFORMANCE MANAGEMENT AND
DEVELOPMENT SYSTEM: A CASE STUDY OF THE
ETHEKWINI DISTRICT OFFICE IN THE KZN HEALTH
DEPARTMENT**

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degree of Master of Commerce Coursework in Human Resource
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DECLARATION

I, Ronald Duki, declare that:

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I am grateful to God for His mercy and loving kindness towards to me. “But you, Lord, are a compassionate God, merciful and patient, with unending gracious love and faithfulness” (Psalm 86:15).

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ABSTRACT

AN INVESTIGATION INTO THE IMPLEMENTATION OF THE EMPLOYEE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM: A CASE STUDY OF THE ETHEKWINI DISTRICT OFFICE IN THE KZN HEALTH DEPARTMENT

The aim of this research was to investigate the extent to which the employee performance management and development system (EPMDS) has been effectively implemented in the eThekwini District Office of the KZN Department of Health.

A structured questionnaire was sent to the target population of 192 staff members on salary levels 1 to 12, of which 135 questionnaires were completed and returned. Descriptive statistics were used to summarise and display categorical and numerical data.

A key finding of this research is that employees of the eThekwini District Office do possess knowledge of the EPMDS policy and are of the view that the EPMDS does have benefits. Whilst employees are, therefore, prepared to participate in performance management processes, they do not willingly participate due to the system not being implemented properly and a non-enabling environment that is created by the employer. This research, therefore, recommended that the KZN Department of Health ensure that deserving employees are appropriately rewarded whilst decisive action is taken against poor performers. In this regard, managers and supervisors must be instrumental in ensuring that a culture of performance and learning is established within the Department. The central HR unit must also ensure that all staff are trained on the EPMDS.

The eThekwini District Office will enhance its public health service role should the recommendations of this research be implemented. An area of further research is to investigate whether the translation of departmental strategic objectives into the performance agreement of senior managers and their respective staff is being done and should gaps exist, to make recommendations on how to address them.

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ACRONYMS

ANOVA	-	Analysis of Variance
DPSA	-	Department of Public Service and Administration
EPMDS	-	Employee Performance Management and Development System
HOD	-	Head of department
HR	-	Human Resource
HRM	:	Human Resource Management
KZN	-	KwaZulu-Natal
MBA	-	Master in Business Administration
NDP	-	National Development Plan
PAQ	-	Personnel Assessment Questionnaire
PSC	-	Public Service Commission
PSCBC	-	Public Service Coordinating Bargaining Council
RSA	-	Republic of South Africa
SMS	-	Senior Management Service
UKZN	-	University of KwaZulu-Natal

CHAPTER 1

INTRODUCTION

1.1 Introduction

Performance management is a planned effort, through an ongoing process of establishing desired outcomes and setting performance standards, to improve performance and productivity. Performance management aims to improve the quality of public service delivery (Fatile, 2014).

In KwaZulu-Natal, the Department of Health is tasked with implementing the government mandate of providing health services (KZN Department of Health, 2009). Managing the performance of employees, therefore, plays a crucial role in ensuring that quality public health services are delivered. Ineffective management of employee performance will lead to poor service delivery (Mzileni, 2012).

Literature on performance management suggests that South African organisations often fail to follow best practice in performance management and are still struggling to implement performance management effectively (Le Roux, 1995) (Rademan and Vos, 2001) (Spangenberg & Theron, 2001).

This chapter provides the background and rationale for research to be undertaken on the Employee Performance Management and Development System (EPMDS) in the KZN Department of Health and also provides an outline of the chapters that make up this dissertation.

1.2 Problem statement

A research problem refers to some difficulty that the researcher experiences in the context of either a theoretical or practical situation and to which the researcher wants to obtain a solution (Welman and Kruger, 2001).

With regards to the KZN Department of Health, there is a lack of willingness by employees of the eThekweni District Office to participate in its performance management processes.

1.3 Background to the problem

For South Africa to realise its vision of becoming a development state, it needs to be supported by an effective performance management system (Public Service Commission, 2018). The National Development Plan - Vision 2030, has, however cautioned about “a real risk that South Africa’s development agenda could fail because the state is incapable of implementing it.” One of the root causes identified for this warning is inequality in capacity which results in uneven performance at a provincial and national level of government (National Planning Commission, 2012). The performance of the public service, therefore, remains a key concern for the Public Service Commission (PSC, 2018).

There are approximately 1,2 million employees in the public service (African News Agency, 2018). According to research undertaken by the PSC, the number one cause of grievances amongst public service employees during the 2012/13 and 2013/14 years was related to performance management issues. In 2012/13, 24% of all grievances were about performance management whilst in 2013/14, 28% of all grievances were about performance management (Public Service Commission, 2014).

The total number of public service employees in the KwaZulu-Natal Provincial Government stands at approximately 188 000 of which the KZN Department of Health has approximately 80 000 employees (Persal, 2018). During the 2013/14 year, the KZN Department of Health’s annual report noted that it had experienced challenges with staff not adhering to the mandatory timelines regarding performance management activities, the consequent of which was a negative audit finding (KZN Department of Health, 2014). In the Department’s 2014/15 Annual Human Resource Planning Implementation Report, one of the workforce challenges listed was “non-compliance to employee performance management

and development system prescripts remains a challenge” (KZN Department of Health, 2015). Furthermore, the KZN Department of Health, from its almost 80 000 employees, had awarded four employees a performance bonus in the 2013/14 financial year at average of R2000-00 per employee and awarded one employee a performance bonus in each of the financial years 2011/12, 2012/13 and 2013/14 (KZN Department of Health, 2012, 2013 and 2014).

Within the KZN Department of Health there are 11 District Offices whose role is to manage and monitor district health services and ensure implementation of policies, guidelines and strategies in their respective districts, in line with the overall mandates and vision of the Department (KZN Department of Health, 2009).

The eThekweni District Office had 194 employees as at the time of collecting data for this research, which was during the months of March to June 2018. Of these 194 employees, 2 employees were on a senior management level, that is, level 13 and above, whereas the remaining 192 were on levels 1 to 12. Levels 13 to 16 in the public service refer to senior and top management employees whilst levels 1 to 12 refer to categories from general worker to middle management staff. The focus of this research was on the EPMDS for employees on levels 1 to 12. As at the end of the 2015/16 performance cycle, when the eThekweni District Office had 209 employees on salary levels 1 to 12, 49 employees did not comply with performance management processes, representing 23.5% of the employees. During the 2016/17 performance cycle, 51 of its 194 employees did not comply, representing 26% of employees being non-compliant (Mapumulo, 2017).

The aforementioned statistics relating to performance management does paint a somewhat sombre picture of a country that is dependent on its public service for its development. Such a problem warrants further enquiry.

1.4 Aim of the research

This research aims to investigate the extent to which the EPMDS has been effectively implemented in the eThekweni District Office with a view to making recommendations on how to address the identified problem of a lack of willingness by employees to participate in performance management processes.

1.5 Research objectives

The objectives of this research are:

- (a) To determine employees' level of knowledge of the EPMDS policy of the KZN Department of Health.
- (b) To determine employees' perceptions of the EPMDS policy.
- (c) To establish the factors which prevent employees from readily complying with performance management processes.
- (d) To make recommendations to the KZN Department of Health on improving implementation of the EPMDS.

1.6 Research questions

The following are the research questions:

- (a) What are employees' level of knowledge of the EPMDS policy of the KZN Department of Health?
- (b) What are employees' perceptions of the EPMDS?
- (c) What are the factors that prevent employees from readily complying with performance management processes?
- (d) What recommendations can be made to the KZN Department of Health to improve implementation of the EPMDS?

1.7 Significance of the research

The Public Service Commission considers the EPMDS as one of the most disputed systems that has been implemented in the public service. The Commission is also of the view that the challenges associated with the implementation of the system represent some of the most complex HRM challenges (Public Service Commission, 2016). The literature review undertaken in Chapter 2 of this dissertation confirms that all public service departments have encountered challenges with implementation of the EPMDS, however, of importance is that the nature of the challenges vary from department to department. This research will ascertain the extent to which the challenges experienced by the eThekweni District Office in the KZN Department of Health are similar to other public service departments, and which challenges seem to be more dominant in the eThekweni District Office. The findings of this research will be made available to the management of the eThekweni District Office to enable improvement of the implementation of the EPMDS.

The non-addressing of challenges related to performance management will continue to adversely affect audit findings and public health service delivery in KwaZulu-Natal, including the successful implementation of national health programmes such as the National Health Insurance.

In addition to determining the unique challenges prevalent in the eThekweni District Office and recommending targeted interventions to address these challenges, this research will be the first research undertaken within a KZN Health District Office. Studies in performance management have been undertaken in the KZN Department of Health at two of its three organisational levels, that is at Head Office and hospital level, however, no such research has been undertaken at a District level (Desai, 2017). Therefore, this research will add to the body of knowledge on performance management in the public service and so address a gap in research.

1.8 Format of the research

This research has been organised into five chapters which are outlined below:

Chapter One: Introduction

This chapter serves as an orientation of the research. It introduces the research by providing the background to the research, the rationale and purpose of the research. The research problem, research questions, research objectives and significance of the research are also discussed.

Chapter 2: Literature Review

In this chapter, academic work pertaining to performance management, especially in the South African public service, is analysed with the objective of revealing contributions, weaknesses and gaps.

Chapter Three: Research methodology

Chapter Three covers the research design and methodology that was used in conducting this research.

Chapter 4: Results, discussion and interpretation of findings

The results of the research are presented in this chapter, which also includes a discussion and interpretation of the findings.

Chapter Five: Recommendations and conclusion

After taking into account the findings of the research, this concluding chapter makes recommendations for practical application and future research.

1.9 Conclusion

A robust system of performance management is crucial for the successful implementation of South Africa's development agenda which includes the provision of quality health care. It is, therefore, imperative that the obstacles to successful implementation of the EPMDS are identified and addressed.

This introductory chapter provided the background of and rationale for the research. The aim of the research as well as the research objectives and questions were also documented in this chapter. To conclude the chapter, a brief description of all five chapters in this report was provided.

The next chapter presents a literature review pertinent to the research topic.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

This chapter presents an analytical assessment of past academic work that is relevant to the topic being researched (Hofstee, 2006). The assessment begins by defining key terms pertinent to performance management. Defining key terms would ensure that a common understanding of these terms is shared between the researcher and reader (Goes and Simon, 2015). Once key terms have been defined, the following areas from literature are reviewed:

- (a) Legislative and policy framework regulating performance management in the public service;
- (b) Historical development of performance management in the public service;
- (c) Importance of performance management in the public service;
- (d) Purpose of performance management in the public service;
- (e) Objectives of performance management in the public service;
- (f) Principles of performance management in the public service;
- (g) The performance management and development process in the public service;
- (h) Benefits and drawbacks of performance management;
- (i) Key requirements for successful implementation of performance management in the public service; and
- (j) Findings of studies on performance

2.2 Definition of key terms

2.2.1 Performance

Performance refers to the actions undertaken by employees and the resultant outcomes thereof. Performance management is a process where

employees, through their works, utilise resources in a competent manner to yield outcomes that are timely and of the required quantity and quality (KZN Department of Health, 2015).

2.2.2 Employee perception

According to Robbins et al (2004) perception is simply an individual's viewpoint based on that individual's interpretation of a situation, and is not necessarily based on reality. Therefore, perception is important because it influences employees' behaviour. Guest (1999) is of the view that an employee's perception impacts on the performance management process and therefore there is a need for managers to incorporate such perceptions into the organisation's performance management system.

2.2.3 Performance management

Performance management means “a purposeful, continuous process aimed at managing and developing 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 managing performance within an agreed framework of planned goals, objectives and standards” (KZN Department of Health, 2015).

2.2.4 Performance management system

Performance management system means “an authoritative framework for managing employee performance, which includes the policy framework as well as the framework relating to all aspects and elements in the performance cycle, including performance planning and agreement; performance monitoring, review and control; performance appraisal and

moderating; and managing appraisal outcomes” (KZN Department of Health, 2015).

There are two main systems of performance management in the public service; one for members of the SMS, that is employees from levels 13 to 16 and the other system is for employees on levels 1 to 12 (Public Service Act, 1994) (Public Service Regulations, 2001) (DPSA, 2003).

2.2.5 Personal Development Plan

A personal development plan 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” (KZN Department of Health, 2015).

2.2.6 Public service

According to the Public Service Act, 1994 the responsibility for public service administration is that of national and provincial departments and organisational components named in the Public Service Act, 1994. The public service, therefore, consists of persons who are employed in national and provincial departments. In South Africa, there are currently 47 National departments and 9 provincial governments (Government of South Africa, 2018).

2.2.7 Performance appraisal

According to Boxall, Purcell and Wright (2007) performance management is an ongoing process whilst performance appraisal is undertaken at pre-determined times. The primary concern of performance management is the achievement of organisational goals and improving service delivery whereas performance appraisal mainly concerns

evaluating an employee's performance and compiling plans for development. Performance appraisal is a part of the process of performance management (Paile, 2012).

2.3 Legislative and policy framework regulating performance management in the public service

HRM in the public service is governed by a framework of statutory prescripts and policies. These include the Constitution of the RSA Act, 1996, White Paper on HRM in the Public Service, 1997, Public Administration Management Act, 2014, Public Service Act, 1994, applicable collective agreements, and labour legislation such as the Labour Relations Act, 1995 and Basic Conditions of Employment Act, 1997 (DPSA, 2016).

Relating specifically to performance management, the following legislative and policy prescripts are most relevant:

2.3.1 Public Service Act, 103 of 1994

The Public Service Act (1994) and its accompanying Public Service Regulations (1999) is a key piece of legislation pertaining to performance management in the public service. Section 3(5)(c) of the Public Service Act indicates that performance appraisal should be provided for in the public service.

The Public Service Regulations (1999) require of each political head of department to develop and implement a system of performance management for staff of that particular department. These Regulations contain the principles for developing and implementing the system. The principles are listed in 2.8 below.

2.3.2 The White Paper on HRM in the Public Service, 1997

The White Paper on HRM in the public service, 1997 contains a policy framework which seeks to facilitate the shift from personnel administration to human resource management in the public service. The White Paper emphasises that performance management is an integral part of an effective human resource management and development strategy and is an on-going process in which the employee and employer together, strive constantly to improve the employee's individual performance and his/her contribution to the organisation's wider objectives (DPSA, 1997).

The White Paper also states that every employee's performance should be assessed at least once annually against mutually agreed objectives and that the assessment process should be aimed at identifying strengths and weaknesses in order to recognise and reward good performance, and manage poor performance (DPSA, 1997).

2.3.3 Public Service Coordinating Bargaining Council Resolution number 10 of 1999

This PSCBC resolution provides steps on the management of poor performance (PSCBC, 1999).

2.3.4 SMS Handbook, 2003, as amended

The SMS Handbook describes the processes and requirements of performance management and development for members of the SMS. The Handbook directs that there must be linkages between the performance measures that apply to SMS members and non-SMS members, that is, employees on levels 1 to 12 (DPSA, 2003).

2.3.5 Reviewed Policy on employee performance management

In 2007, the DSPA developed a performance management and development framework which departments were at liberty to use as their policy on EPMDS (DPSA, 2007). The KZN Department of Health adopted the framework as its Policy on Employee Performance Management and Development - this, after effecting minor changes to the DPSA framework. This reviewed policy was approved by the HOD on 23 December 2014 (KZN Department of Health, 2015). The policy contains the purpose and objectives of the system and details the performance management process, as well as the responsibilities of the various stakeholders involved in implementing the EPMDS (KZN Department of Health, 2015). Several aspects contained in the policy are included in this literature review, notably 2.6 to 2.10, below.

In the public service, HR processes are regulated by several pieces of legislation and policies. In order to effectively implement the EPMDS and so avoid grievances related to performance management being lodged, it is a necessity for managers and supervisors to be familiar with the provisions of these prescripts.

2.4 The history and development of performance management in the public service

The roots of performance management can be traced to the early 1920s. It is only during the 1980's, though, that performance management gained popularity (Public Service Commission, 2018).

Prior to South Africa becoming a democracy in 1994, the South African public service, consisting of approximately 1,3 million employees at the time, was characterised by fragmented structures. At the central level of government, including the 4 provinces, 53 departments existed. In addition, the so-called independent states had established 80 departments and the self-governing

territories had established 62 departments. The total number of administrations was, therefore, 195 (Naidoo, 2004).

The pre-democracy or apartheid public service was also characterised by, amongst others, a lack of co-ordinated policy frameworks and a disregard for public accountability (Naidoo, 2004). Public servants were “held accountable for adherence to rules and procedures, rather than for service delivery outcomes” (Naidoo, 2004). The public service was, therefore, based on processes rather than outcomes, which meant setting procedures to follow instead of focusing on results (Naidoo, 2005). The performance appraisal instrument that was used in the public service was the Personnel Assessment Questionnaire (PAQ). The PAQ required supervisors to assess their respective employees on generic factors and, where applicable, compile a descriptive essay of critical incidents (Ravhura, 2006). The performance management system was described as being underdeveloped and viewed as a frustrating administrative chore by supervisors who spent large amounts of time completing forms and compiling reports (SAJHRM, 2014) (Ravhura, 2006).

With effect from 1 July 1999 the HRM domain in the public service changed. A new public service management framework was introduced which required national and provincial departments, within nationally defined parameters, to plan and manage their human resources to meet their own strategic and operational objectives. The new management framework included legislation such as the Public Service Regulations, 1999, various White Papers, and collective agreements concluded by bargaining councils in the public service (DPSA, 2016). As indicated in 2.3.1 above, the Public Service Regulations required of each political head of department to develop and implement a system of performance management for staff of that particular department. The Regulations, which also contained the principles of performance management, served as the primary guide for departments for development and implementation of systems (Kgomotso, 2011).

The system of performance management that has been developed and implemented in the KwaZulu-Natal public service has been designed in accordance with a Management by Objectives (MBO) methodology and some elements of the Balanced Scorecard (BSC) system (DPSA, 2001).

The **MBO** entails setting of objectives that are congruent with overall organisational goals. These objectives are generally jointly set by supervisors and their respective employees (Muller et al, 2011 cited in Abdool, 2016, p.361). Once objectives have been set, supervisors are expected to provide the support necessary to enable employees achieve their set objectives (Erasmus *et al*, 2005 cited in Paile, 2012, p.4). In terms of performance appraisal, employees are evaluated on how well they have accomplished their set objectives (DeCenzo & Robbins 1999 cited in Paile, 2012, p.4)

Whereas Singh (2010) contends that performance objectives motivate staff and are valuable in conveying the position of the organisation to staff, Osborne and Gaebler (1992 cited in Singh, 2010, p.76) argue that MBO can create conflict within the organisation since each department is focussed on achieving its own set objectives - this, to the detriment of the organisation's primary objective of customer satisfaction.

The **BSC** is a performance management system that is used to align the vision and mission with all the functional and operational activities of an organisation (Punniyamoorthy and Murali, 2008). In this regard organisational goals are broken down into four distinct perspectives that are uniquely connected. The four perspectives are: financial, customers, internal business processes and learning and growth (Jackson, 2019). According to Chen et al. (2008), the BSC provides a clear path of implementation. The main shortcoming of the BSC is its emphasis on the financial perspective and profit making which is contrary to the motive of public service delivery (Public Service Commission, 2018). To address this shortcoming, one of the developers of the scorecard, Professor Robert Kaplan, advised that it is simple to rearrange the scorecard and "place customers or constituencies at the top of the hierarchy" (Business Results Group, 2015). The

public service must, therefore, choose to increase the customer service perspective, improve stakeholder satisfaction and position it as priority rather than pursuing profit (Public Service Commission, 2018).

2.5 The importance of performance management and development in the public service

According to the White Paper on HRM in the public service, the success of the public service in delivering its operational and developmental goals depends, primarily, on the efficiency and effectiveness with which employees carry out their duties. Managing performance is, therefore, seen as a key human resource management tool to ensure that service delivery goals are realised (DPSA, 1997).

In line with the White Paper on HRM, the KZN Department of Health's reviewed policy on EPMDS states that the ultimate aim of performance management is to improve the KZN Department of Health's overall performance and service delivery by optimising every employee's output in terms of quality and quantity (KZN Department of Health, 2015).

Hendricks and Matsiliza (2015) reaffirms the provisions contained in the White Paper and reviewed policy on EPMDS by asserting that the rationale for implementing performance management in government departments is to ensure that the performance of its employees leads to effective and efficient service delivery to the public.

Hence, there can be no doubt that rendering quality public services is, to a large extent, dependent on the successful implementation of the EPMDS.

2.6 Purpose of the EPMDS in the public service

The purpose of the EPMDS is to plan, manage and improve employee performance (DPSA, 2007).

2.7 The objectives of performance management in the public service

Performance management aims to achieve the following:

- (a) institute a culture of performance and learning in the public service;
- (b) enhance the delivery of services;
- (c) ensure that all employees are familiar with expectations of their jobs;
- (d) improve communication between employees and supervisors;
- (e) manage the training needs of employees;
- (f) objectively appraise performance;
- (g) recognise above average performance; and
- (h) manage performance that is deemed as unsatisfactory (DPSA, 2007).

2.8 Principles underpinning performance management and development in the public service

The following key principles underpin performance management in the public service:

- (a) Performance must be managed in a manner that is non-discriminatory, supportive and consultative;
- (b) Processes of performance management must be aligned to organisational goals and employee personal development plans;
- (c) Performance management processes must make provision for appropriate responses to above average and poor performances; and
- (d) Transparency and administrative justice must be maintained during the procedures of performance management (Public Service Regulations, 1999).

2.9 Theories relevant to performance management in the public service

The goal-setting and principal-agency theories are the two main theories that underpin the performance management system in the public service (Singh, 2010).

The **goal-setting theory**, developed by Edwin Locke, highlights the significant correlation between goals and performance (Sari, 2018). The essence of the theory is that organisational goals which have been agreed upon by top management are cascaded to all employees in the organisation through a process of joint goal-setting. Performance of employees and managers is monitored against the set goals and targets (Singh, 2010).

McConkie (1979 cited in Singh, 2010, p.99), after studying the work of experts in the field, concluded the following with regards to goal-setting:

- a) goals and objectives must be precise and not ambiguous;
- b) objectives should be measurable; and
- c) there must be a link between employee's goals and the goals of the organisation.

It was also agreed by the experts that employees must be involved in goal-setting as this had the power to motivate employees and increase their commitment to achieving the goals (Marsden 2004 cited in Singh, 2010, p.74).

The **principal-agency theory** refers to devolution of power from the principal to the agent, whose responsibility it then becomes to implement the policies and programmes of the principal. In the public service, the principal (Minister of a government department), delegates the day-to-day decision-making of that department to the agent (Head of Department). The devolution of power from the Minister to the Head of Department is enshrined in a performance contract that is entered into by the two parties. The agent is either rewarded for achieving results or sanctioned for under-performance (Singh, 2010).

2.10 Key requirements to successfully implement the EPMDS in the public service

The institutional framework and training on the system are considered as the two key requirements to successfully implement the EPMDS (DPSA, 2007).

Assigned responsibilities for implementing specific aspects of the EPMDS form part of the institutional framework (DPSA, 2007). In this regard, once the strategic plans of a Department have been compiled, senior managers play a crucial role in ensuring that goals and objectives contained in strategic planning documents are incorporated in performance agreements of their subordinates. This translation of organisational goals and objectives into performance agreements aim to ensure that “the Department will ensure performance management is focus driven in a seamless manner in the realisation of service delivery imperatives and that there is accountability attached to the realisation of targets set whilst attempting to improve health outcomes of the clients served” (KZN Department of Health, 2015).

In addition to the crucial role that senior managers play, supervisors and employees also fulfill an important role in ensuring successful implementation of the EPMDS. During the performance planning phase, supervisors must ensure that the objectives of the unit and how the employee’s work fits into the unit objectives are explained to the employee. There must be joint development of the performance agreement which must include any identified training needs in the PDP. Employees must ensure that they participate in performance planning processes and, where necessary, seek clarity on any aspect contained in the performance agreement (DPSA, 2007).

During the performance cycle, the supervisor must ensure that the necessary support is provided to enable the employee to achieve his/her set objectives. The supervisor must also ensure that performance feedback is provided regularly, timeously and constructively. The employee must ensure that one is prepared for performance review discussions and appraisals by collecting and providing performance-related information (DPSA, 2007).

Other role-players that fulfil important roles to ensure successful implementation of the EPMDS include:

- (a) HOD: ensures that the department's strategic plan is developed and is translated into annual business plans. The HOD must also ensure that the EPMDS is implemented as a departmental policy.
- (b) Human Resource department: must ensure that the updated EPMDS is available and properly communicated.
- (c) Moderating committee: provides oversight of the performance management process (KZN Department of Health, 2015).

With regards to training on the EPMDS as the other key requirement to successfully implement the system, “managers, supervisors and employees must be trained in the mechanics of the system in order to manage the system more effectively” (DPSA, 2007). It is argued by DeCenzo and Robbins (1999) that training can assist supervisors minimise appraisal rater errors whilst Carroll (1982, cited in Paile, 2012) is of the view that training can equip employees with an understanding of the organisation's intentions of the performance management system; and create a better understanding of the system, the forms, and the terminology used.

According to Fletcher (2008), if employees are to play a significant role in the performance management process, they should be given some training to make it effective. Training on performance management helps employees to understand the aims and objectives of the system and it combats the anxiety that the employees might have about the system. Training further helps employees on how to draft performance plans, how reviews are conducted and how to complete the relevant forms (Paile, 2012). With regards to training in the KZN Department of Health, the central HR department had conducted training to HR staff at the different organisational levels. Due to the Department's decentralised model of operation, the expectation is that the trained HR staff are required to train supervisors and all other employees in their respective organisational units (KZN Department of Health, 2018).

The extent to which the two key requirements for successful implementation of the EPMDS (institutional framework and training) have been met, is reported on

in this research. Statements in the questionnaire which relate to the institutional framework are contained in research objective 1 which seeks to ascertain the level of employees' knowledge of the EPMDS policy, and research objective 3 which attempts to establish the factors that prevent employees from readily complying with performance management processes.

Statements in the questionnaire relating to training on the EPMDS are also contained in research objective 1.

2.11 The performance management and development process in the KZN Department of Health

The management of employee performance is a continuous interactive process between an employee and her/his supervisor about the employee's performance. Face-to-face on-going communication during the performance cycle is an essential requirement of the performance management and development process (DPSA, 2007).

Performance is planned, executed and assessed in a twelve month cycle. The performance cycle is linked to the financial year for the purpose of planning. The financial year commences on 1 April in a given year to 31 March, the following year (DPSA, 2007).

The main four integrated phases or elements of the EPMDS are:

- (a) Performance planning and agreement;
- (b) Performance monitoring, developing and control;
- (c) Performance assessment or appraisal; and
- (d) Managing outcomes (KZN Department of Health, 2015)

These phases or elements are described in the next four sections.

Performance planning and agreement: during this stage of the performance cycle, the employee and supervisor conclude a performance agreement by not later than 31 May. Key aspects of the performance agreement include setting performance objectives and determining the developmental needs of the employee (KZN Department of Health, 2015).

Performance monitoring, developing and control: performance monitoring, developing and control is an ongoing process that forms part of all phases. It entails the supervisor continuously monitoring the performance of the employee to enable the identification of performance barriers and changes and to address development and improvement needs as they arise (DPSA, 2007).

Performance assessment or appraisal: this stage entails undertaking a formal half-yearly review by 31 October, and a formal annual assessment by 31 May (KZN Department of Health, 2015). The performance assessment process commences with a self-assessment by the employee, followed by the supervisor rating the employee (DPSA, 2007). Employees are assessed on a 5-point rating scale. A score of “3” means that an employee’s performance is fully effective. Should there be any disagreement between the employee and supervisor on performance ratings, the performance agreement does make provision for mediation by a mediator, who is generally the supervisor of the employee’s supervisor. Should this mediation fail, the formal grievance procedure may be invoked by the employee (KZN Department of Health, 2015).

Managing performance outcome: this stage refers to the outcomes of the formal annual assessment. These outcomes may lead to granting pay progression (1,5% of salary notch) for fully effective rating; extending the probationary period or dismissal in the case of unacceptable performance; and granting a performance bonus (generally up to 20% of annual salary) for outstanding performance. Granting non-financial incentives such as increased autonomy to organise own work, and overseas study tours has also been made provision for in the policy on EPMDS (KZN Department of Health, 2015).

2.12 Benefits and drawbacks of performance management

According to Paile (2012) performance management has more benefits than drawbacks. Paile (2012) stresses that performance management encourages organisational planning which facilitates the alignment of employee and organisational goals. Performance management also promotes communication and participation between supervisor and employee, resulting in increased trust. The outcomes of performance management can be used by an organisation to inform employee promotions, pay progressions and development of an employee (Paile, 2012).

Additional benefits of performance management as cited in Fatile (2014) include:

- (a) clearer understanding of goals and duties;
- (b) employees have a healthier commitment level;
- (c) a positive impact on employee attraction and retention;
- (d) enriched communication; and
- (e) increased motivation among managers because of goal setting.

A common disadvantage associated with performance management is that the process can be viewed as time-consuming because appraisal documents can be intricate and lengthy (Wright, 2006 cited in Paile, 2012).

A further disadvantage of performance management is that a difference in perception between supervisor and employee may result in conflict between the parties. Performance management processes, especially appraisals, involve emotions and can, therefore, lead to conflict where, for example, an employee may be of the view that one has performed at a fully effective level whereas the supervisor feels that such performance was at an average level. Furthermore, supervisors may allow biasness to enter the process and are, therefore prone to making rating errors. Such errors may occur due to a lack of training of supervisors or as a result of supervisors focussing on the negative aspects of the

employee's performance and not balancing this performance with the positive aspects (DeCenzo and Robbins, 1999).

2.13 Findings of studies on performance management

2.13.1 Studies undertaken in the continent of Africa

Performance management has not been fully institutionalised in Africa as it has been in a country such as China. The systems of performance management have not led to improved productivity in Africa although noteworthy efforts had been made to enhance the systems (Fatile, 2014). Hence, it has been recommended by Fatile (2014) that emphasis should be placed on increasing productivity in African public services through its systems of performance management. In this regard a performance-driven behaviour should be inculcated where managers play a leading role and ensure that performance management issues are regularly addressed (Fatile, 2014).

2.13.2 Studies undertaken at a national level in South Africa

According to Joubert and Noah (2000), problems associated with the way performance management is implemented in the private sector included the prevalence of a rather negative work culture; a general lack of support from line managers for performance management processes; and adjustments to organisational strategy did not necessarily lead to corresponding behaviour changes.

Literature also provides evidence that organisations in South Africa continue to encounter challenges in implementing performance management systems and frequently fail to adopt performance management best practices (Le Roux, 1995, Rademan and Vos, 2001, Spangenberg and Theron, 2001 cited in Mncedi, 2012).

As far as the public service in South Africa is concerned, the PSC listed the following reasons that public servants cited for their discontent with the implementation of EPMDs:

- (a) moderating committees unilaterally change ratings that were agreed to between employees and their immediate supervisors;
- (b) non-consideration of supplementary motivation submitted during the appeal process;
- (c) failure by departments to reward superior performance due to limited budgets;
- (d) poor performance by employees are only brought up during annual assessments;
- (e) due processes are not followed when work plans are changed during the performance cycle;
- (f) failure to consult during performance assessments; and
- (g) lack of fairness during the review process (Public Service Commission, 2014).

In addition to the above, the PSC had also made the observation that, generally, the performance management process seems to create an unreasonable expectation in that it is used more for financial gain instead of employee development and addressing poor performance (Public Service Commission, 2014). Furthermore, in its Status Report on HRM, the PSC reported that managing unsatisfactory performance remained a key challenge, with managers generally not willing to take appropriate action, although they understand the necessity to address unsatisfactory performance. The PSC also found that HR departments often do not provide the necessary support to line managers regarding EPMDs processes (Public Service Commission, 2010).

The challenges highlighted in the preceding two paragraphs do create an impression that the EPMDs is flawed by design. However, the Public Service Commission is of the view that this is not the case and is

convinced that a well-designed system will not succeed as long as it is inconsistently implemented by managers and supervisors. The Public Service Commission though has recommended that consideration be given to introducing some form of group appraisal, such as the **360-degrees** system, as part of the EPMDS (PSC, 2018). According to McCarthy and Garavan (2001), many organisations are moving towards 360-degrees appraisal feedback as the preferred system of performance management. 360-degrees feedback is a performance-appraisal process that depends on feedback from an employee's colleagues, seniors and customers during the employee's performance appraisal (McCarthy and Garavan 2001). Aslam et al., 2011 (cited in Dube, 2014, p.33) stress that 360-degrees feedback is beneficial for organisational development, however should employees not be consulted before the system is implemented, it could lead to labour discord.

In one of its studies, the DPSA found that, in general, the EPMDS was not applied correctly, consistently and fairly (DPSA, 2008). This is corroborated in a study undertaken at the National Department of Correctional Services where majority of staff were unhappy with the manner in which performance appraisals were done. Favouritism and a lack of training were cited as major causes of dissatisfaction (David, 2011).

Research conducted in selected national government departments found that the EPMDS was not effective. The research revealed the following:

- (a) employees did not have confidence and trust in the EPMDS;
- (b) supervisors were biased in implementing the EPMDS; and
- (c) the EPMDS was implemented by supervisors merely to comply with the department's policy instead of using it as a management tool (Makamu, 2016).

2.13.3 Studies undertaken in different provinces of South Africa in the public service

As part of a thesis undertaken to investigate the effectiveness of the EPMDS in the Provincial Government of Limpopo, Munzhedzi (2011) found that there was poor understanding of the EPMDS. The study also found that setting of unrealistic performance targets was also a challenge (Munzhedzi, 2011).

In the Eastern Cape, Makasi (2011) undertook a study on EPMDS in the Provincial Department of Social Development. The study found, among others, that once performance reviews were done, there was a lack of follow-up; the appraisal part of performance management was emphasised without regard for development; and there was a lack of objectivity in the performance management process.

In the Gauteng Department of Education, Makamu (2013) undertook research in pursuance of his Master Technologiale: Public Management. A key finding of this study on EPMDS was that employees were dissatisfied with the assessment of their performance. A further finding was that the training that was stipulated in performance agreements of employees was not provided.

Whereas Makamu undertook research at a head office level in Gauteng, Paile (2012) undertook research on EPMDS at the Father Smangiliso Centre which is an institution at a regional level in Gauteng. Among the findings of the research at a regional level, were the following:

- (a) differing views between supervisor and employee on how to manage under-performance;
- (b) non-adherence of procedures by both parties during assessments;
- (c) prevalence of the halo effect where supervisors show favouritism to certain employees; and

- (e) employees tend to focus on performance incentives without much regard to the impact that their performance had on productivity in the workplace.

In the Mpumalanga provincial Department of Culture, Sports and Recreation there was a perception among employees that supervisors use the EPMDS as a penalising tool against subordinates. Furthermore, employees' felt that their performances were not duly recognised as was supposed to be and supervisors did not take into account the conditions under which they had to perform, including pressurising conditions (Maloba, 2012).

In KwaZulu-Natal, Mtshali (2013) undertook research on the EPMDS implemented amongst social service professionals in the Provincial Department of Social Development. The main finding of this study was that EPMDS does not benefit social workers in terms of career pathing.

In the KZN Department of Health, Abdool (2016) undertook research on the implementation of the EPMDS at the Murchison Hospital in Port Shepstone, in pursuit of the MBA. One of the main findings of the study was that although employees of the Hospital understood the EPMDS, they had not been properly trained on it. Furthermore, it was found that although some shortfalls and gaps were noticed in the EPMDS, it was seen to be effective and efficient in most areas (Abdool, 2016).

Whereas research undertaken at a hospital level in the KZN Department of Health revealed that employees of the Hospital understood the EPMDS but had not been properly trained on it, at the Head Office level in the KZN Department of Health (Finance unit), research findings were that employees had a negative perception of the fairness of the EPMDS and that the performance management process is undertaken as a compliance exercise as it lacks functional performance feedback and rewarding mechanisms. The research at head office uncovered loop holes

in performance management wherein performance indicators were not clearly defined and there was limited career progression (Khuzwayo, 2017).

2.14 Conclusion

Performance management is still a challenge for most organisations in South Africa, be it in the private sector or public service. In the public service, all departments in South Africa have experienced challenges in implementing the EPMDS.

Whereas some challenges such as discontent with individual performance ratings are quite common across public service departments, departments do have unique challenges. For example, in the Limpopo Provincial Government it was found that there was poor understanding of the EPMDS whilst in the Mpumalanga province, there was a perception among employees in the Department of Culture, Sports and Recreation that the EPMDS was a penalising tool used by supervisors on their subordinates. The chief finding in the research conducted in the KZN Department of Social Development was that the EPMDS does not benefit social workers in terms of career pathing. Such unique findings in a department give credence to a study being undertaken in the eThekweni District Office of the KZN Department of Health.

Although research was conducted in the KZN Department of Health, this was done at a Head Office and at a hospital level. No research was undertaken at a District Office in the KZN Department of Health to determine its unique challenges and so inform targeted interventions.

This chapter focused on the reviewing of related literature on performance management in both the private sector and public service. The next chapter focuses on the research design and methods adopted for this research.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 Introduction

Chapter Two presented an assessment of existing literature on implementing performance management in organisations. The assessment highlighted that all public service departments in South Africa experience challenges in implementing the EPMDS.

Chapter Three explains the research design and methods that were employed in conducting the research.

3.2 Research design

“Research designs are procedures for collecting, analysing, interpreting and reporting data in research studies. They are useful because they help guide the methods that researchers must choose during their studies and set the logic by which they make interpretations at the end of the studies” (Creswell and Clark, 2011).

Mutinta (2016) lists, among others, the following research designs:

- (a) Descriptive: carefully generates a detailed description of a phenomenon.
- (b) Case study: in-depth study of a problem in a real-life setting.
- (c) Focus group: involves a small group of people discussing a problem.
- (d) Explanatory: explains the phenomenon in terms of what, where and when.
- (e) Exploratory: investigates an area or behaviour that has not been studied.
- (f) Longitudinal: a study that follows the sample over a long period of time.
- (g) Secondary: a study conducted using data collected and tabulated by other sources.
- (h) Ethnography: a problem that is studied within the context of its culture.

- (i) Action: a theory is identified or generated to inform an intervention to solve a problem.

A case study research design was used for this research. According to Yin (2009), “a case study is an empirical study that investigates a contemporary phenomenon in depth.” Such a study is undertaken within its real-life context (Yin, 2009). Singh (2010) states that case studies can be either quantitative or qualitative in nature.

3.3 Research approach

The most popular research approaches among academia is either the quantitative or qualitative research approach or both which would be the triangulation of the two approaches. Triangulation means that data is gathered by comparison of the results of two or more methods (Webb et al. 1996 and Smith 1975 cited in Bailey 2007).

The quantitative research method deals with numbers and it measures how much and how often whilst the qualitative method focuses on the quality of the findings in the form of words (non-numerical data). Some researchers argue that one cannot separate quantitative from qualitative research. This can be true because a sample from the population includes numbers (Makamu, 2013).

Hackley (2003) concurs that most studies are a mixture of both qualitative and quantitative research, as they are not mutually exclusive in research. He states, however, that there is always an emphasis on one or other of the approaches. In this research, a quantitative approach was used. The researcher did take into account the advantages and disadvantages of a quantitative approach which are briefly explained in the next paragraph.

Easterby-Smith et al (2002) consider quantitative research to be fast, economical and of significant relevance when policy decisions needs to be made, but warn that it might be rigid and artificial due to the structured nature of questionnaires.

According to the University of Southern California (2018), a quantitative study allows for a broader study and for greater objectivity and accuracy of results. The University of Southern California (2018) does concede though that a quantitative approach uses a static and rigid approach and so employs an inflexible process of discovery. Results of such a study may, therefore, provide less detail on behaviour, attitudes and motivation of the participants.

3.4 Study site

The physical place wherein the research takes place is known as the study site. This is where data will be collected (Simons 2009). In this research, the study site was the eThekweni District Office in Mayville, Durban. Durban is situated in the Province of KwaZulu-Natal, South Africa, with a population of 3,4 million (Stats SA, 2017).

3.5 Target population and sampling

A target population, according to Trochim (2006), is the group of people that possess features which the researcher has an interest in. The target population for this study was 192 staff members on salary levels 1 to 12 at the eThekweni District Office (Mapumulo, 2017).

A practical way of collecting data when the population is infinite or extremely large is through sampling (Makamu, 2013). Bhattacharjee (2012) defines sampling as the statistical process of selecting a subset of a population of interest for purposes of making observations and statistical inferences about that population.

Maxim (1994, cited in Makamu 2013) states that the first challenge of drawing a sample is how the sample ought to be selected. Reader (2004) argued that the larger the sample size, the smaller the sampling error and narrower the confidence interval whereas a very small sample is less accurate but more convenient. It is further argued, that a census which is a survey of the whole population will be

more accurate than a survey using a restricted sample. However, such a survey will be very expensive and its results may take time to analyse (Makamu, 2013). According to Gorard (2003), whenever possible, it is preferable to use the whole population rather than to introduce the additional bias and error involved in selecting a sample.

The researcher was of the view that having credible results was paramount for this research and therefore decided to use the whole dataset of 192 employees.

3.6 Data collection

According to Rubin (2008) “data is defined as information collected in the process of research while data collection instruments refer to devices used to collect data.” In qualitative and quantitative research, there are two types of data: primary and secondary data. Primary data refer to data that has been collected for the research through direct interaction with participants whilst secondary data is data that already exists in the field of enquiry (Babbie and Mouton, 2004).

In this research, both primary and secondary data was collected. The secondary data was collected from books, journal articles, government reports, policies and publications. The primary data was collected through use of a structured questionnaire. According to Blaxter, Hughes and Tight (2010), questionnaires are the most widely used social research technique.

A questionnaire was preferred to other instruments due to the fact that it is a time saving instrument (University of Wisconsin, 2001). Waddell et al (2016) view a questionnaire as one of the most efficient ways of collecting data because it typically contains fixed responses and can be administered to large numbers of people simultaneously. Furthermore, they assert that questionnaires can be analysed quickly, especially with the use of a computer. Questionnaires for this research were distributed to the 192 participants whilst they were at work, with the view that they would complete them during their break. Using a different research instrument such as an interview would have made it difficult for the

researcher to collect the data. The questionnaire comprised six sections with 47 statements relating to the four research objectives. The sections in the questionnaire were as follows:

Section A: required of participants to provide their demographic characteristics;

Section B: required the work information of participants;

Section C: comprised statements related to the level of employees' knowledge of the EPMDS which was objective 1;

Section D: comprised statements related to the second research objective of employees' perceptions of the EPMDS;

Section E: comprised statements related to factors that prevent employees from readily complying with performance management processes. This was relevant to the third objective; and

Section F: comprised statements related to the fourth research objective on how to improve implementation of the EPMDS.

A 6-point Likert-type scale ranging from 1 (strongly disagree) to 6 (strongly agree) was utilised to measure participants' views on the EPMDS.

The questionnaire was either e-mailed or hand-delivered to participants. The questionnaires were to be self-administered by the participants. Completed questionnaires were returned via e-mail or placed in a box in the researcher's office.

3.7 Data quality control

According to Rubin (2009), data quality refers to how the researcher is able to ensure that the instrument used to gather data does measure what it is intended to measure and does so in a manner that is consistent.

Cooper and Schindler (2006) define validity as the degree to which a test actually measures what it was supposed to measure. The questionnaire designed for this

research underwent a process to ensure that it had face, content and construct validity.

Face validity is when a test superficially appears to test that which it was intended to test (McBurney, 1994). Piloting increases the probability of a questionnaire having face validity (Wong, 2012). In this regard, the researcher piloted the questionnaire before administering it to the target population.

Bryman and Bell (2007) recommend that a pilot study be undertaken prior to the actual data being collected especially when the questionnaire is to be self-administered. Piloting aims to improve the overall credibility of the data and assists the researcher in ascertaining whether the questionnaire measures what it was supposed to measure (Cooper and Schindler, 2006) (Crossman, 2018).

The pilot study was undertaken using a convenience sampling method where the researcher selected 20 participants from the target population that were readily available (Tashakkori and Teddlie, 2003). Use of the readily available population saves time and the cost to conduct the research is minimal (Crossman, 2018).

After pilot-testing the questionnaire, minor modifications relating, mainly, to grammar and layout were effected. Distribution of the questionnaires to the population of 192 was undertaken, of which 135 responses were completed and returned to the researcher. This is a response rate of 70%.

Content validity is defined by Bowling (1997) as the degree to which the contents of a research instrument appears to thoroughly examine the scope which it is purposed to measure. Expert opinions and literature searches help to establish content validity (Wong, 2012). To this end, copies of the research questionnaire were given to 10 HR Managers in the KZN Department of Health. These experts checked the questionnaire to establish the appropriateness of the instrument. 3 of the 10 HR Managers responded, indicating that the questionnaire appeared to be relevant and in line with the department's prevailing policy on EPMDS.

With regards to content validity, Zondi (2012) posits that a questionnaire does have content validity when it covers all the areas related to the research questions. In this regard, the researcher, therefore, ensured that the statements and questions in the questionnaire took into account the research questions. Furthermore, when formulating the statements and questions, the researcher ensured that the following were taken into account:

- (a) the concept of performance management;
- (b) provisions in the reviewed policy on EPMDS; and
- (c) findings in the literature review.

Construct validity can be described as the extent to which an instrument accurately measures a construct or variable (Bolarinwa, 2015). Construct validity of the questionnaire was established through factor analysis. Factor analysis generally permits researchers to examine the potential relationship that may exist within a large group of variables by grouping variables into smaller groups that are highly interrelated (Hair et al, 2010).

Reliability refers to how consistently an instrument measures that which it was supposed to measure (Polit and Hungler, 1999 cited in Mbokane, 2004). To this end, and as indicated in 3.8 below, Cronbach's Alpha was applied to the extracted factors to measure their reliability.

3.8 Data analysis

Data analysis is the process by which meaning is obtained from the data that has been collected and involves an examination of raw data with the purpose of drawing conclusions about information presented (Ghauri and Gronhaug, 2002).

Data in this research was analysed using the SPSS software. Descriptive statistics were used to organise and arrange data in an orderly manner, especially data obtained from the demographic and work information sections (A and B), which was displayed in frequency tables. A one sample t-test was performed in Sections

C to F, and where applicable, factor analyses were undertaken. The one sample t-test was used to test whether a mean score was significantly different from a central score. Factor analysis was used to discover patterns among the variations in values of several variables in Sections C to E (Babbie & Mouton 2011). The process of factor extraction using a pool of all the variables in the analysis led to commonalities. The relationship between the variables led to identifying factors to explain a percentage of variability among different variables. The Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy test was applied to the factors to show that the data was adequate for successful and reliable extraction. As a general rule, the KMO value should be 0.60 or higher to continue with factor analysis (Hair et al., 2010). Bartlett's test of sphericity was also applied to test whether the sample was adequate for factor analysis. In Bartlett's test, $p < 0.05$ indicates that correlations between items are not too low and are, therefore, adequate for factor analysis (Shunmugam, et al, 2012). Cronbach's Alpha was applied to the extracted factors to measure the reliability, or the internal consistency, of the items making up a particular construct. A value of around 0.70 or greater is widely considered desirable (Taber, 2016).

Further analysis was applied to the extracted factors using ANOVA, one sample t-test and Pearson's correlation coefficient. ANOVA is a statistical procedure used to compare more than two groups or variables (Patkowski, 1991 and Dreyer, 1998). Pearson's correlation was used to determine the correlation between the variables in Section C of this research (Mathsbits, 2014).

3.9 Ethical consideration

Ethics refer to levels of behaviour to ensure moral conduct (Royse, 1999 cited in Kgomo, 2011). The following ethical considerations were taken into account for the purposes of conducting the research:

- (a) Ethical approval from the University of KwaZulu-Natal Research Ethics Committee was obtained by the researcher and is attached as Appendix E. In addition, a gatekeeper's letter was obtained from the KZN Department of

Health to undertake a study in the eThekweni District Office - see Appendix B.

- (b) Informed consent: in terms of the UKZN's General Guidelines for the Ethics Review Processes, permission was sought from the participants before data was gathered from them – see Appendix C (UKZN, 2014).
- (c) Confidentiality and anonymity: assurance was given to participants that their names would be kept confidential and anonymous. They were also advised that they could withdraw from participating in the research at any time (Kgomotso, 2011).

3.10 Limitations of the research

According to Simon (2011), limitations are potential weaknesses in research and are beyond the control of the researcher. The following limitations were encountered during this research:

- (a) The eThekweni District Office as the single case study for the investigation limits the generalisation of the research outcomes to the case study under review and will not be applicable to the other district health offices in KwaZulu-Natal.
- (b) There were delays in questionnaires being completed and returned by some participants. This can be attributed to these participants being field workers who seldom go to their offices.

3.11 Conclusion

This chapter dealt with the research design and methods that had been followed in this research, addressing the target population, data collection instrument and procedures, as well as the data analysis process. Measures were adhered to so as

to ensure the validity and reliability of the research results. Ethical concerns which could have impacted on the research were attended to.

The next chapter focuses on presentation of the results, discussion and interpretation of the findings.

CHAPTER 4

RESULTS, DISCUSSION AND INTERPRETATION OF FINDINGS

4.1 Introduction

Chapter Three explained the research design and methodology which also included the data collection methods that were used in this research. The primary focus of this chapter is to present and analyse the research data collected. The analysis is based on data that was collected using a structured questionnaire.

The chapter commences with a description of the demographic and work profile of the research participants. Thereafter, an analysis is undertaken of the data that is related to the four research objectives. The objectives were listed in Chapter 1, as follows:

- (a) To determine employees' level of knowledge of the EPMDS policy of the KZN Department of Health.
- (b) To determine employees' perceptions of the EPMDS policy.
- (c) To establish the factors which prevent employees from readily complying with performance management processes.
- (d) To make recommendations to the KZN Department of Health on improving implementation of the EPMDS.

4.2 Presentation of the results, discussion and interpretation

4.2.1 Biographical data of research participants

Biographical data was obtained from Section A of the questionnaire and is tabulated in the frequency table below. The data presented is: race, gender and age.

Table 4.1 Biographical data of participants

Variable	Frequency	Percentage
Race		
Black African	105	77.8
Indian	22	16.3
Coloured	3	2.2
White	5	3.7
Total	135	100.0
Gender		
Male	44	32.6
Female	91	67.4
Total	135	100.00
Age		
26-34	29	21.5
35-54	79	58.5
55+	27	20.0
Total	135	100.0

The largest group of participants were Black Africans representing 77.8% of the research group, followed by Indians at 16.3% and Whites at 3.7%. Coloureds comprised 2.2% of the participants. In terms of gender, the majority of participants were female representing 67.4% whilst males represented 32.6% of the group. More than half (58.5%) of the participants fell into the age group 35 to 54 years,

followed by the category 26 to 34 years (21.5%) and 55 years and over (20%).

4.2.2 Work information of research participants

Work information was obtained from Section B of the questionnaire and is presented in frequency tables which show the variable, frequency of occurrence and percentage thereof. The work information presented is: department, salary level, supervisory status and number of years the employee has worked in the public service.

Table 4.2 Department where participants were based in

Variable	Frequency	Percentage
Clinical and Health Programmes	60	44.4
Planning, Monitoring and Evaluation	21	15.6
District Medical Officer	5	3.7
Corporate Services	49	36.3
Total	135	100

The largest representation of participants was from the Clinical and Health Programmes department, constituting 44.4% of the research group. The second largest group was from Corporate Services with a 36.3% representation. The Planning, Monitoring and Evaluation department and District Medical Officer department is represented by 15.6% and 3.7% of the participants, respectively.

Table 4.3 Salary level of participants

Variable	Frequency	Percentage
3	2	1.5
4	24	17.8
5	39	28.9
6	5	3.7
7	10	7.4
8	10	7.4
9	11	8.1
10	18	13.3
11	3	2.2
12	13	9.6
Total	135	100

Table 4.3 indicates that the highest representation of research participants were from salary level 5 at 28.9% of the group followed by those on salary level 4 at 17.8%. The representation from the other salary levels ranged between 2.2% to 13.3%.

Table 4.4 Supervisory status of participants

Variable	Frequency	Percentage
Supervisor	42	31.1
Non-supervisor	93	68.9
Total	135	100.0

The majority of the participants were non-supervisors (68.9%), whereas supervisors constituted 31.1% of the participants.

Table 4.5 Number of years in public service

Variable	Frequency	Percentage
2	1	0.7
3	3	2.2
4	9	6.7
5	13	9.6
6	10	7.4
7	3	2.2
8	6	4.4
9	2	1.5
10	12	8.9
11	3	2.2
12	6	4.4
13	3	2.2
14	7	5.2
15	5	3.7
16	4	3.0
17	5	3.7
18	4	3.0
19	3	2.2

20	4	3.0
20+	32	23.7
Total	135	100

Of the 135 participants, the minimum number of years that a participant was in employment of the public service was 2 years whereas the maximum period of service was 40 years. The median is 14.74 years.

This research is well represented in terms of race, gender, age, department, salary level, supervisory status and number of years in the public service. The analysis of data related to the research objectives is presented next.

4.2.3 Objective 1: Employees' level of knowledge of the EPMDS policy

Data on employees' level of knowledge of the EPMDS policy obtained from Section C of the questionnaire is presented in Table 4.6 below. Participants had to rate each statement on an agreement rating scale where 1 represented Strongly Disagree, 2 = Disagree, 3 = Slightly Agree, 4 = Slightly Agree, 5 = Agree, and 6 = Strongly Agree. The average agreement rating score was tested against the central score of 3.5 to ascertain if there was, on average, significant agreement or significant disagreement to the statements.

Table 4.6 Employees' level of knowledge

Item	Mean	Std deviation	t-value	Df	p-value
C1: The purpose of the EPMDS is aimed at planning, managing and improving employee	5.07	0.943	19.386	134	<.0005

performance					
C2: The aim of performance management is to optimize every employee's output in terms of quality and quantity, thereby improving the department's overall performance and service delivery	5.09	0.876	21.064	134	<.0005
C3: The performance management process should ensure that all jobholders know and understand what is expected of them	5.33	0.800	26.535	134	<.0005
C4. Performance must be managed in a consultative, supportive and non-discriminatory manner	5.40	0.745	29.627	134	<.0005
C5. The performance cycle is divided into the following four integrated phases or elements: performance planning and agreement; performance monitoring, developing and control; performance assessment or appraisal, and managing the outcome of assessment.	5.03	0.909	19.483	133	<.0005
C6. As an employee I understand my role in the EPMDS process	4.97	0.962	17.768	134	<.0005
C7. I am aware of the timeframes for submission of EPMDS documents to the HR	5.13	0.823	22.942	134	<.0005

department					
C8. My supervisor is/should be aware of the timeframes for submission of EPMDS documents to the HR department	5.33	0.680	31.316	134	<.0005
C9. I am aware of the consequences of non/ delayed submission of EPMDS documents to the HR department	4.87	1.162	13.742	134	<.0005
C10. My supervisor is/should be aware of the consequences for non/delayed submission of EPMDS documents to the HR department	5.13	0.904	20.984	134	<.0005
C11. I have undergone sufficient training on the department's EPMDS	3.75	1.610	1.791	134	>.0005

There is significant agreement that:

- (a) the purpose of the EPMDS is aimed at planning, managing and improving employee performance (M=5.07, SD=0.943), $t(134)=19.386$, $p<0.0005$.
- (b) the aim of performance management is to optimize every employee's output in terms of quality and quantity, thereby improving the department's overall performance and service delivery (M=5.09, SD=0.876), $t(134)=21.064$, $p<0.0005$.
- (c) the performance management process should ensure that all jobholders know and understand what is expected of them (M=5.33, SD=0.800), $t(134)=26.535$, $p<0.0005$.
- (d) performance must be managed in a consultative, supportive and non-discriminatory manner (M=5.40, SD=0.745), $t(134)=29.627$, $p<0.0005$.

- (e) the performance cycle is divided into the following four integrated phases or elements: performance planning and agreement; performance monitoring, developing and control; performance assessment or appraisal, and managing the outcome of assessment ($M=5.03$, $SD=0.909$), $t(133)=19.483$, $p<0.0005$.
- (f) employees understand their role in the EPMDS process ($M=4.97$, $SD=0.962$), $t(134)=17.768$, $p<0.0005$.
- (g) employees are aware of the timeframes for submission of EPMDS documents to the HR department ($M=5.13$, $SD=0.823$), $t(134)=22.942$, $p<0.0005$.
- (h) supervisors are aware of the timeframes for submission of EPMDS documents to the HR department ($M=5.33$, $SD=0.680$), $t(134)=31.316$, $p<0.0005$.
- (i) employees are aware of the consequences of non/ delayed submission of EPMDS documents to the HR department ($M=4.87$, $SD=1.162$), $t(134)=13.742$, $p<0.0005$.
- (j) supervisors are aware of the consequences for non/delayed submission of EPMDS documents to the HR department ($M=5.13$, $SD=0.904$), $t(134)=20.984$, $p<0.0005$.

There is neither agreement nor disagreement that participants had undergone sufficient training on the department's EPMDS, however, it was not statistically significant ($M=3.75$, $SD=1.610$), $t(134)=1.791$, $p>0.0005$.

A factor analysis with Promax (with Kaiser Normalisation) rotation was applied to determine if there are underlying themes/ factors present. A KMO of 0.830 indicated that the data was adequate for successful and reliable extraction. Bartlett's test $p<0.05$ indicated that correlations between items are not too low. As reflected in the Pattern Matrix below, 3 factors emerged that account for 74.03% of the difference in the data. The values in the matrix are called factor

loadings and are correlations between the variables and the factors (Kootstra, 2004).

Table 4.7 Pattern Matrix of employees' level of knowledge

Item	Factor		
	1	2	3
C1: The purpose of the EPMDS is aimed at planning, managing and improving employee performance	0.978		
C2: The aim of performance management is to optimize every employee's output in terms of quality and quantity, thereby improving the department's overall performance and service delivery	0.835		
C5. The performance cycle is divided into the following four integrated phases or elements: performance planning and agreement; performance monitoring, developing and control; performance assessment or appraisal, and managing the outcome of assessment.	0.413		
C8. My supervisor is/should be aware of the timeframes for submission of EPMDS documents to the HR department		0.830	
C4. Performance must be managed in a consultative, supportive and non-discriminatory manner		0.731	
C10. My supervisor is/should be aware of the consequences for non/delayed submission of EPMDS documents to the HR department		0.699	
C3: The performance management process should ensure that all jobholders know and understand what is expected of them		0.590	
C7. I am aware of the timeframes for submission of EPMDS documents to the HR department			0.737

C6. As an employee I understand my role in the EPMDS process			0.707
C11. I have undergone sufficient training on the department's EPMDS			0.685
C9. I am aware of the consequences of non/ delayed submission of EPMDS documents to the HR department			0.606

The 3 factors can be grouped as follows:

- (a) Factor 1: Employees' knowledge of the **purpose and process** of the EPMDS policy.
- (b) Factor 2: Employees' knowledge of the **supervisor's role** in the EPMDS process.
- (c) Factor 3: Employees' knowledge of their **own role** in the EPMDS process.

Cronbach's alpha was applied to the 3 factors to test for reliability and as indicated below, each factor had an alpha >0.7 which is considered a reliable measure.

Factor 1: Purpose and process	alpha = 0.835
Factor 2: Supervisor's role	alpha = 0.860
Factor 3: Employee's role	alpha = 0.779

A one sample t-test was applied to test for significant agreement or disagreement and is presented in the table below.

Table 4.8 One sample t-test of employees' level of knowledge

Item	Mean	Std deviation	t-value	df	p-value
F1: Purpose and process	5.05	0.809	22.334	134	<.0005
F2: Supervisors role	5.29	0.660	31.637	134	<.0005
F3: Employee role	4.67	0.913	15.012	134	<.0005

There is significant agreement that:

- (a) Employees possess knowledge on the purpose and process of the EPMDS (M=5.05, SD=0.809), $t(134)=22.334$, $p<0.0005$.
- (b) Employees possess knowledge on the role of the supervisor in the EPMDS process (M=5.29, SD=0.660), $t(134)=31.637$, $p<0.0005$.
- (c) Employees possess knowledge on their own role in the EPMDS process (M=4.67, SD=0.913), $t(134)=1.791$, $p<0.0005$.

These measures do not differ significantly by race, gender, age, department or salary level. The factor 'employee's role' was further broken down in terms of supervisory status - there is significant difference in the participants' knowledge, based on whether they are a supervisor or not. This is indicated in the ANOVA results presented hereunder:

Table 4.9 ANOVA of employees' level of knowledge

Factor	Supervisory status	N	Mean	df	p-value
Supervisory role	Yes	42	5.333	134	<.0005
	No	93	5.282		
	Total	135	5.298		
Employee role	Yes	42	5.000	134	<.0005
	No	93	4.534		
	Total	135	4.679		

Purpose and process	Yes	42	5.142	134	<.0005
	No	93	5.017		
	Total	135	5.056		

Those who are supervisors (M=5.00) scored significantly higher on the employee role factor than those who are not supervisors (M=4.53), Welch (1, 86.800) = 8.505, p=0.005. Supervisors, therefore, possess a higher level of knowledge of an employee's role in the EPMDS process than those that are not supervisors.

To test for a relationship with experience, Pearson's correlation was applied - no significant correlation was found.

4.2.4 Objective 2: Employee perceptions of the EPMDS policy

Data on employees' perceptions of the EPMDS policy obtained from Section D of the questionnaire is presented in Table 4.10 below. Participants had to rate each statement on an agreement rating scale where 1 represented Strongly Disagree, 2 = Disagree, 3 = Slightly Agree, 4 = Slightly Agree, 5 = Agree, and 6 = Strongly Agree. The average agreement rating score was tested against the central score of 3.5 to ascertain if there was, on average, significant agreement or significant disagreement to the statements.

Table 4.10 One sample t-test on employees' perceptions

Item	Mean	Std deviation	t-value	df	p-value
D1. There was sufficient consultation between myself and my supervisor during the completion of the performance agreement.	4.53	1.267	9.412	133	<.0005

D2. The EPMDS process clarifies expectations regarding work responsibilities.	4.79	0.957	15.600	134	<.0005
D3. My supervisor monitors my performance on a continuous basis.	4.61	1.191	10.800	134	<.0005
D4. My supervisor is well prepared for performance reviews.	4.68	1.157	11.867	134	<.0005
D5. I am well prepared for performance reviews (eg. I collect supporting facts on performance delivered, identify factors that affected my performance and identify support or training that will be needed).	4.69	1.089	12.684	134	<.0005
D6. The performance assessment enables my achievements to be recognized.	4.20	1.500	5.421	134	<.0005
D7. During the performance assessment, I am given adequate opportunity to respond to comments regarding my performance.	4.39	1.293	8.018	134	<.0005
D8. As a consequence of the EPMDS, appropriate payments of performance bonuses in recognition of performance that is	3.48	1.670	-0.129	134	>.0005

significantly above expectations are made.					
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There is significant agreement that:

- (a) there was sufficient consultation between employee and supervisor during the completion of the performance agreement (M=4.53, SD=1.267), $t(133)=9.412$, $p<0.0005$.
- (b) the EPMDS process clarifies expectations regarding work responsibilities (M=4.79, SD=0.957), $t(134)=15.600$, $p<0.0005$.
- (c) supervisors monitor performance on a continuous basis (M=4.61, SD=1.191), $t(134)=10.800$, $p<0.0005$.
- (d) supervisors are well prepared for performance reviews (M=4.68, SD=1.157), $t(134)=11.867$, $p<0.0005$.
- (e) employees are well prepared for performance reviews (M=4.69, SD=1.089), $t(134)=12.684$, $p<0.0005$.
- (f) the performance assessment enables employees achievements to be recognised (M=4.20, SD=1.500), $t(134)=5.421$, $p<0.0005$.
- (g) during the performance assessment, employees are given adequate opportunity to respond to comments regarding their performance (M=4.39, SD=1.293), $t(134)=8.018$, $p<0.0005$.

There was neither significant agreement nor significant disagreement that appropriate performance bonuses are paid in recognition of performance that is significantly above expectations (M=3.48, SD=1.670), $t(134)=0.129$, $p>0.0005$.

A factor analysis was applied where 2 factors emerged. A KMO of 0.846 indicates that the data was adequate for successful and reliable extraction. Bartlett's test $p<0.05$ indicates that correlations between items are not too low. As reflected in the Pattern Matrix below, 2 factors emerged that account for 69.61% of the difference in the data.

The values in the matrix are called factor loadings and are correlations between the variables and the factors (Kootstra, 2004).

Table 4.11 Pattern Matrix of employees' perceptions

Item	Factor	
	1	2
D4. My supervisor is well prepared for performance reviews	1.110	
D3. My supervisor monitors my performance on a continuous basis.	0.851	
D1. There was sufficient consultation between myself and my supervisor during the completion of the performance agreement.	0.569	
D5. I am well prepared for performance reviews (eg. I collect supporting facts on performance delivered, identify factors that affected my performance and identify support or training that will be needed).	0.494	
D7. During the performance assessment, I am given adequate opportunity to respond to comments regarding my performance.	0.435	
D6. The performance assessment enables my achievements to be recognized.		0.671
D2. The EPMDS process clarifies expectations regarding work responsibilities.		0.657
D8. As a consequence of the EPMDS, appropriate payments of performance bonuses in recognition of performance that is significantly above expectations are made.		0.655

The 2 factors can be grouped as follows:

- (a) Factor 1: **Preparedness** to participate in EPMDS processes (supervisors and non-supervisors).
- (b) Factor 2: **Perceived benefits** of the EPMDS.

Cronbach's alpha was applied to the 2 factors to test for reliability and as indicated below, each factor had an alpha >0.7 which is considered a reliable measure.

Factor 1: Preparedness alpha = .885

Factor 2: Perceived benefits alpha = .709

A one sample t-test was applied to test for significant agreement or disagreement.

Table 4.12 One sample t-test of employees' perceptions

Item	Mean	Std deviation	t-value	df	p-value
F1: Preparedness	4.57	0.991	12.641	134	<.0005
F2: Perceived benefits	4.15	1.120	6.799	134	<.0005

In terms of employee perceptions there was significant agreement that:

- (a) Employees, that is supervisors and non-supervisors, were prepared to participate in the EPMDS process (M=4.57, SD=0.991), $t(134)=12.641$, $p<0.0005$.
- (b) Proper implementation of the EPMDS did potentially have benefits for the employee and the employee's supervisor (M=4.15, SD=1.120), $t(134)=12.641$, $p<0.0005$.

ANOVA was further applied to the factors and the results are presented below.

Table 4.13 ANOVA of employees' perceptions

Factor	Department	N	Mean	df	p-value
Preparedness	Clinical and Health programmes	60	4.500	134	<.0005
	Planning, Monitoring and Evaluation	21	4.971		
	District Medical Officer	5	4.770		
	Corporate Services	49	4.485		
	Total	135	4.578		
Perceived Benefits	Clinical and Health programmes	60	4.144	134	<.0005
	Planning, Monitoring and Evaluation	21	4.047		
	District medical officer	5	4.200		
	Corporate services	49	4.210		
	Total	135	4.155		

The preparedness factor differs significantly across departments, Welch (3, 18.331) = 3.201, $p=.048$. Employees from the Planning, Monitoring and Evaluation department scored significantly higher than those from the Clinical and Health programmes department. Therefore, employees from the Planning, Monitoring and Evaluation department are more prepared to participate in EPMDS processes than employees from the Clinical and Health programmes department.

The preparedness factor differs significantly across gender, Welch (1, 127.260) = 5.272, $p=.023$. Males scored significantly higher than females hence males are much more prepared for EPMDS processes than females.

The perceived benefits factor differs significantly across race, $F(3,131) = 3.786, p=.012$). Black African employees scored significantly higher than White employees. Therefore, there is more agreement among Black Africans that the EPMDS does have benefits.

4.2.5 Appraisal rating errors

Data pertaining to appraisal rating errors that supervisors make was obtained from Section D9 of the questionnaire and is presented in Table 4.14 below. Participants had to rate each statement on an agreement rating scale where 1 represented Strongly Disagree, 2 = Disagree, 3 = Slightly Agree, 4 = Slightly Agree, 5 = Agree, and 6 = Strongly Agree. The average agreement rating score was tested against the central score of 3.5 to ascertain if there was, on average, significant agreement or significant disagreement to the statements.

Table 4.14 One sample t-test of appraisal rating errors

Item	Mean	Std deviation	t-value	df	p-value
D9.1 Central tendency: all employees are rated at the middle of the rating scale, that is, most employees are rated 3 although this should not necessarily be the case	4.86	1.294	12.206	134	<.0005
D9.2 Halo effect: supervisor's personal feelings about an employee influences their rating of the employee	3.50	1.630	.000	133	>.0005
D9.3 Strictness: tendency to be overly critical of performance, eg. supervisor	3.64	1.615	1.016	133	>.0005

gives a rating of 3 instead of 4 or gives a rating of 2 instead of 3					
D9.4 Leniency: a tendency to rate all employees at the higher end of the rating scale	3.11	1.605	-2.815	134	>.0005
D9.5 'Like me': a tendency for a supervisor to rate an employee more favourably because the employee is perceived similar to the supervisor	2.90	1.450	-4.778	134	<.0005
D9.6 Recency: the supervisor allows incidents (good or bad) of an employee's behaviour that happened just before performance appraisal to carry too much weight in evaluating performance over an entire rating period.	3.01	1.539	-3.705	133	<.0005

The extent to which there is agreement/disagreement by participants on the errors that supervisors make during performance appraisals is as follows:

- (a) Central tendency: significant agreement ($M=4.85$, $SD=1.294$), $t(134)=12.206$, $p<0.0005$.
- (b) Halo effect: neither significant disagreement or significant agreement ($M=3.50$, $SD=1.630$), $t(133)=0.000$, $p>0.0005$.
- (c) Strictness: neither significant disagreement or significant agreement ($M=3.64$, $SD=1.615$), $t(134)=1.016$, $p>0.0005$.

- (d) Leniency: significant disagreement ($M=3.11$, $SD=1.605$), $t(134)=-2.815$, $p>0.0005$.
- (e) 'Like me': significant disagreement ($M=2.90$, $SD=1.450$), $t(134)=-4.778$, $p<0.0005$.
- (f) Recency: significant disagreement ($M=3.01$, $SD=1.539$), $t(133)=-3.705$, $p<0.0005$.

For strictness, there is a significant difference in rating, depending on salary level. Scores for salary level 6 is significantly bigger than for salary levels 4, 5, 9 and 11. Therefore, there is more agreement among employees on salary level 6 than those on salary level 5, 9 and 11 that supervisors do make the rating error of strictness during performance appraisals.

There are no other differences across any of the variables.

4.2.6 Objective 3: Factors that prevent employees from readily complying with the EPMDS policy

Data on factors that prevent employees from readily complying with the EPMDS policy which was obtained from Section E of the questionnaire is presented in Table 4.15 below. Participants had to rate each statement on an agreement rating scale in which 1 represented Strongly Disagree, 2 = Disagree, 3 = Slightly Agree, 4 = Slightly Agree, 5 = Agree, and 6 = Strongly Agree. The average agreement rating score was tested against the central score of 3.5 to ascertain if there was, on average, significant agreement or significant disagreement to the statements.

Table 4.15 One sample t-test of factors that prevent employees from readily complying

Item	Mean	Std deviation	t-value	df	p-value
E1. Heavy workload of supervisors	3.84	1.651	2.355	133	>.0005
E2. Supervisors not committed to performance management processes	3.47	1.485	-0.233	133	>.0005
E3. Employees not committed to performance management processes	3.38	1.540	-0.922	134	>.0005
E4. The performance management process has become too much of an administrative burden (that is, too much paperwork)	4.35	1.483	6.646	134	<.0005
E5. The performance management process has become more of a paper compliance exercise than a meaningful management tool to motivate, develop and recognize employees	4.74	1.275	11.304	134	<.0005
E6. Performance bonuses are seldom paid hence employees are reluctant to readily participate	4.45	1.515	7.301	134	<.0005
E7. Good workers are seldom recognized while poor performers seem to get away with mediocre performance	4.70	1.345	10.331	134	<.0005

E8. Disciplinary action is not taken against defaulting employees and supervisors	4.43	1.362	7.864	133	<.0005
E9. Training needs identified in the performance management process are generally not met	4.74	1.333	10.819	134	<.0005
E10. Lack of communication between employee and supervisor	3.82	1.501	2.475	133	>.0005
E11. The HR department does not actively promote the importance of performance management processes	3.98	1.509	3.680	134	<.0005
E12. Supervisor-employee appraisal meetings are uncomfortable	3.50	1.386	0.000	133	<.0005
E13. Supervisors do not provide constructive feedback; rather their feedback is vague and not constructive	3.60	1.420	0.791	133	>.0005
E14. Supervisors do not fully understand the challenges being experienced by their employees which challenges prevent employees from achieving their set objectives in an efficient manner	3.96	1.504	3.561	133	>.0005

There is significant agreement that the following factors prevent employees from readily complying with the EPMDS policy:

- (a) Heavy workload of supervisors (M=3.84, SD=1.651), $t(133)=2.355$, $p>0.0005$.
- (b) The performance management process has become too much of an administrative burden - that is, too much paperwork (M=4.35, SD=1.483), $t(134)=6.646$, $p<0.0005$.
- (c) The performance management process has become more of a paper compliance exercise than a meaningful management tool to motivate, develop and recognize employees (M=4.74, SD=1.275), $t(134)=11.304$, $p<0.0005$.
- (d) Performance bonuses are seldom paid hence employees are reluctant to readily participate (M=4.45, SD=1.515), $t(134)=7.301$, $p<0.0005$.
- (e) Good workers are seldom recognised while poor performers seem to get away with mediocre performance (M=4.70, SD=1.345), $t(134)=10.331$, $p<0.0005$.
- (f) Disciplinary action is not taken against defaulting employees and supervisors (M=4.43, SD=1.362), $t(134)=7.864$, $p<0.0005$.
- (g) Training needs identified in the performance management process are generally not met (M=4.74, SD=1.333), $t(134)=10.819$, $p<0.0005$.
- (h) Lack of communication between employee and supervisor (M=3.82, SD=1.501), $t(134)=2.475$, $p<0.0005$.
- (i) The HR department does not actively promote the importance of performance management processes (M=3.98, SD=1.509), $t(134)=3.680$, $p<0.0005$.
- (j) Supervisors do not fully understand the challenges being experienced by their employees which challenges prevent employees from achieving their set objectives in an efficient manner (M=3.96, SD=1.504), $t(133)=3.561$, $p<0.0005$.

There is neither significant disagreement nor significant agreement that the following factors prevent employees from readily complying with the EPMDS policy:

- (a) Supervisors not committed to performance management processes (M=3.47, SD=1.485), $t(133)=-0.233$, $p>0.0005$.
- (b) Employees not committed to performance management processes (M=3.38, SD=1.540), $t(134)=-0.922$, $p>0.0005$.
- (c) Supervisor-employee appraisal meetings are uncomfortable (M=3.50, SD=1.386), $t(133)=0.000$, $p>0.0005$.
- (d) Supervisors do not provide constructive feedback; rather their feedback is vague (M=3.60, SD=1.420), $t(133)=0.791$, $p<0.0005$.

A factor analysis was applied and 3 factors emerged. The KMO sampling adequacy figure of 0.846 showed that the sampling was adequate for successful and reliable extraction. Bartlett's test $p<0.05$ indicates that correlation between items are not too low. As indicated in the Pattern Matrix below, 3 factors emerged that account for 64.85% of the difference in the data. The values in the matrix are called factor loadings and are correlations between the variables and the factors (Kootstra, 2004).

Table 4.16 Pattern Matrix of factors that prevent employees from readily complying

Item	Factor		
	1	2	3
E7. Good workers are seldom recognized while poor performers seem to get away with mediocre performance	0.950		
E5. The performance management process has	0.818		

become more of a paper compliance exercise than a meaningful management tool to motivate, develop and recognize employees			
E9. Training needs identified in the performance management process are generally not met	0.579		
E8. Disciplinary action is not taken against defaulting employees and supervisors	0.572		
E4. The performance management process has become too much of an administrative burden (that is, too much paperwork)	0.546		
E6. Performance bonuses are seldom paid hence employees are reluctant to readily participate	0.507		
E14. Supervisors do not fully understand the challenges being experienced by their employees which challenges prevent employees from achieving their set objectives in an efficient manner		0.865	
E13. Supervisors do not provide constructive feedback; rather their feedback is vague and not constructive		0.733	
E12. Supervisor-employee appraisal meetings are uncomfortable		0.696	
E10. Lack of communication between employee and supervisor		0.550	
E11. The HR department does not actively promote the importance of performance management processes		0.522	
E2. Supervisors not committed to performance management processes			0.877
E3. Employees not committed to performance			0.726

There is significant agreement that:

- (a) proper implementation of the EPMDS is lacking ($M=4.57$, $SD=1.092$), $t(134)=11.375$, $p<0.0005$).
- (b) there isn't an enabling environment created by the employer to encourage participation in the performance management process ($M=3.78$, $SD=1.143$), $t(134)=2.897$, $p<0.0005$).

In terms of the lack of commitment factor, there is neither agreement nor disagreement that supervisors and non-supervisors lack commitment to performance management processes ($M=3.43$, $SD=1.39$), $t(134)=-0.557$, $p>0.0005$).

There are differences across demographics for each of the factors:

The lack of proper implementation factor differs across race (Welch (3, 8.736) = 5.784, $p=.018$). Indians scored higher than Black Africans which implies that there is higher agreement amongst Indians that proper implementation of the EPMDS is lacking.

The non-enabling environment factor differs across race ($F(3, 130) = 3.727$, $p=.013$). Indians scored higher than Black Africans and Coloureds which implies that there is higher agreement amongst Indians that the environment created by the employer to participate in performance management processes, is not a conducive one.

The lack of commitment factor differs across race ($F(3, 131) = 3.276$, $p=.023$). Indians scored higher than Black Africans which implies that there is higher agreement amongst Indians that there is a lack of commitment from both supervisors and non-supervisors to the EPMDS.

The lack of proper implementation factor differs across salary level (Welch (9, 16.263) = 2.854, $p=.032$). Staff that are on level 6 of the salary scale scored higher than staff on levels 4 and 5 which imply that there is higher agreement amongst those on salary level 6 that the EPMDS is not being properly implemented.

The lack of proper implementation factor is correlated with experience/ years of service $r = .195$, $p=.023$. Hence, the more years of service an employee has, the higher the agreement that the EPMDS is not being properly implemented.

4.2.7 Objective 4: Recommendations on how to improve implementation of the EPMDS

Data on recommendations to improve the implementation of the EPMDS obtained from Section F of the questionnaire is presented in Table 4.18 below. Participants had to rate each statement on an agreement rating scale where 1 represented Strongly Disagree, 2 = Disagree, 3 = Slightly Agree, 4 = Slightly Agree, 5 = Agree, and 6 = Strongly Agree. The average agreement rating score was tested against the central score of 3.5 to ascertain if there was, on average, significant agreement or significant disagreement to the statements.

Table 4.18 One sample t-test on how to improve implementation of the EPMDS

Item	Mean	Std deviation	t-value	df	p-value
F1. All employees should undergo training on the EPMDS policy	5.41	0.780	28.454	134	<.0005
F2. All supervisors should undergo training on the EPMDS policy	5.46	0.804	28.343	134	<.0005

F3. Performance bonuses should be paid to deserving employees	5.44	0.852	26.424	134	<.0005
F4. Performance management outcomes should be the primary method of identifying training needs	5.07	0.970	18.783	133	<.0005
F5. Managers and supervisors should be instrumental in establishing a performance and learning culture in the department	5.34	0.745	28.512	133	<.0005
F6. Supervisors and managers should deal more decisively with poor performers so that good performers do not become demotivated	5.37	0.780	27.869	134	<.0005
F7. Non-financial incentives (eg. commendation letters, flexibility, study tours) should be implemented more meaningfully	5.22	0.906	22.014	133	<.0005
F8. The HR department should play a more active role in promoting the EPMDS	5.45	0.731	30.830	133	<.0005

There is significant agreement that:

- (a) All employees (non-supervisors) should undergo training on the EPMDS policy (M=5.41, SD=0.780), $t(134)=28.454$, $p<0.0005$;
- (b) All supervisors should undergo training on the EPMDS policy; (M=5.46, SD=0.804), $t(134)=28.343$, $p<0.0005$;

- (c) Performance bonuses should be paid to deserving employees (M=5.44, SD=0.852), $t(134)=26.424$, $p<0.0005$;
- (d) Performance management outcomes should be the primary method of identifying training needs (M=5.07, SD=0.970), $t(133)=18.783$, $p<0.0005$;
- (e) Managers and supervisors should be instrumental in establishing a performance and learning culture in the department (M=5.34, SD=0.745), $t(133)=28.512$, $p<0.0005$;
- (f) Supervisors and managers should deal more decisively with poor performers so that good performers do not become demotivated (M=5.37, SD=0.780), $t(134)=27.869$, $p<0.0005$;
- (g) Non-financial incentives (eg. commendation letters, flexibility, study tours) should be implemented more meaningfully (M=5.22, SD=0.906), $t(133)=22.014.206$, $p<0.0005$; and
- (h) The HR department should play a more active role in promoting the EPMDS (M=5.45, SD=0.731), $t(133)=30.830$, $p<0.0005$.

ANOVA was applied to statements F3 and F5 which results are presented in Tables 4.19 and 4.20, hereunder:

Table 4.19 ANOVA on statement F5

Statement	Gender	N	Mean	Std deviation
F5. Managers and supervisors should be instrumental in establishing a performance and learning culture in the department	Male	44	5.55	0.627
	Female	90	5.23	0.780
	Total	134	5.34	0.745

For the statement that managers and supervisors should be instrumental in establishing a performance and learning culture in the department, males scored significantly higher than females $F(1,132) = 5.352$, $p=.022$. Therefore, there is more agreement among males that

managers and supervisors should be instrumental in establishing a performance and learning culture in the department.

Table 4.20 ANOVA on statement F3

Statement	Supervisory status	N	Mean	Std deviation
F3. Performance bonuses should be paid to deserving employees	Yes	42	5.67	.477
	No	93	5.33	.959
	Total	135	5.44	.852

The statement that performance bonuses should be paid to deserving employees differs by supervisory status (Welch (1, 131.715) = 7.255, $p=.008$). Supervisors scored higher than non-supervisors which imply that there is higher agreement amongst supervisors that performance bonuses should be paid to deserving employees.

The statement is correlated with service ($r=.197$, $p=.022$). Hence, the more years of service an employee has, the more there is agreement that performance bonuses should be paid to deserving employees.

The statement is also correlated with salary level ($\rho = .186$, $p=.031$). Correlation was applied because ANOVA could not be used for this variable due to conditions not being met. The higher the salary level of an employee, the more there is agreement that performance bonuses should be paid to deserving employees.

4.3 Conclusion

Data collected from the 135 returned questionnaires was presented, analysed and discussed in this chapter. In analysing the demographics of the participants, descriptive statistics including means and standard deviations were used. Frequencies were presented in tables. The constructs that followed allowed for various levels of statistical analysis to be performed. To ensure that

a detailed analysis was undertaken, a one sample t-test was initially performed and where applicable, a factor analysis was undertaken. As part of the factor analysis, the reliability and validity of the data was confirmed. A further analysis was done using the ANOVA, one sample t-test and Pearson's correlation coefficient which ensured that a detailed analysis was provided. Such detailed analysis enabled the researcher to identify the unique EPMDS challenges prevalent in the eThekweni District Office.

The next chapter summarises the key research findings, answers the research questions and makes recommendations for improved implementation of the EPMDS in the eThekweni District Office.

CHAPTER 5

RECOMMENDATIONS AND CONCLUSION

5.1 Introduction

In Chapter 4 the data collected for this research was presented, analysed and discussed. In this chapter, the key research findings are summarised, the research questions are answered and recommendations are made. At the outset of the chapter it is, therefore, worthwhile to repeat the aim of the research and the research questions so as to ensure that the recommendations are relevant.

As stipulated in the introductory chapter, the aim of this research was to investigate the extent to which the EPMDS has been effectively implemented in the eThekweni District Office with a view to making recommendations on how to address the identified problem of a lack of willingness by employees to participate in performance management processes.

The research questions were:

- (a) What are employees' level of knowledge of the EPMDS policy of the KZN Department of Health?
- (b) What are employees' perceptions of the EPMDS policy?
- (c) What are the factors that prevent employees from readily complying with performance management processes?
- (d) What recommendations can be made to the KZN Department of Health on improving implementation of the EPMDS?

5.2 Research question 1: What are employees' level of knowledge of the EPMDS policy of the KZN Department of Health?

Employees in the eThekweni District Office of the KZN Department of Health do possess knowledge of the EPMDS policy. Employees are knowledgeable on

the purpose of and processes involved in performance management, as well the respective roles of the supervisor and employee. This finding confirms the finding of a study undertaken in this self-same department but at a Hospital level where Abdool (2016) found that employees of the Hospital did understand the EPMDS.

This finding, though, contradicts a finding of a study in the Provincial Government of Limpopo where Munzhedzi (2011) found that there was poor understanding of the EPMDS.

5.3 Research question 2: What are employees' perceptions of the EPMDS policy?

In terms of perceptions of the EPMDS policy, employees are of the view that the system in itself does have benefits and employees are, therefore, prepared to participate in performance management processes. Whereas this finding is similar to the finding by Abdool (2016) where the EPMDS in Murchison Hospital was seen to be effective and efficient in most areas, it is in contrast to the perception of employees in the Mpumalanga Culture, Sports and Recreation department where the EPMDS was perceived as a penalising tool used by supervisors on their subordinates (Maloba, 2012).

Pertaining to appraisal rating errors made by supervisors, the error that is made by supervisors is that of central tendency. Employees are, therefore, rated at the middle of the rating scale, that is, most employees are rated 3 although this should not necessarily be the case. This finding differs from a research finding at the Father Smangiliso Centre in Gauteng where it was found that there was prevalence of the halo effect where supervisors show favouritism to certain employees (Paile, 2012).

5.4 Research question 3: What are the factors that prevent employees from readily complying with performance management processes?

There are two overarching factors that prevent employees from readily complying with performance management processes. The first is a lack of proper implementation of the EPMDS and secondly, a non-enabling environment created by the employer.

With regards to a lack of proper implementation of the EPMDS, employees do not readily comply with performance management processes because it has become too much of an administrative burden and the process is undertaken as a paper compliance exercise instead of a meaningful tool to motivate, develop and recognise employees. This finding is corroborated by several studies undertaken: in selected national government departments, Makamu (2016) found that supervisors implemented the system for the sake of complying with policy, as opposed to using the system as a tool of management. Similarly, Khuzwayo (2017) found that EPMDS processes at the KZN Department of Health Head Office (Finance unit) is also undertaken as a compliance exercise.

Another factor relating to proper implementation that discourages employees from readily participating in performance management processes is that good workers are seldom recognised with performance bonuses while poor performers seem to get away with mediocre performance. This finding is in line with the PSC's finding that departments fail to reward superior performance (Public Service Commission, 2014). There is also concurrence between this finding and a research finding in the Mpumalanga Department of Culture, Sports and Recreation where employees felt that their performances were not duly recognised as was supposed to be (Maloba, 2012).

A further factor relating to proper implementation that prevents employees from willingly complying with performance management processes is that training needs identified in the performance management process are, generally, not met. This is similar to a finding in the Gauteng Department of

Education, where the training that was stipulated in performance agreements of employees was not provided (Makamu, 2013). Also, it was found at the National Correctional Services department that major causes of dissatisfaction amongst employees, regarding the EPMDS, included favouritism and a lack of training (David, 2011).

The second overarching factor that prevents employees from readily complying with performance management processes is a non-enabling environment that is created by the employer. This factor is due, largely, to a lack of communication between supervisor and subordinate, and supervisors not fully understanding the challenges being experienced by their subordinates. This finding is comparable to a research finding in Mpumalanga where Maloba (2012) found that staff of the Mpumalanga Culture, Sport and Recreation department were of the view that their supervisor did not take into account the conditions under which they had to perform, including pressurising conditions.

In addition to a lack of communication and supervisors not fully understanding challenges being experienced by their employees, this research has also found that the HR department does not actively promote the importance of performance management processes. This correlates with a finding by the PSC that HR departments do not support line managers in that HR departments often fail to facilitate and monitor performance-related matters (PSC, 2010).

5.5 Research question 4: What recommendations can be made to the KZN Department of Health to improve the implementation of the EPMDS?

Taking the above findings into account, the following recommendations are made:

- 5.5.1 Deserving employees should be rewarded appropriately, including being paid performance bonuses and poor performance must be decisively dealt with:** the department must ensure that good workers are appropriately rewarded and ensure that decisive action is taken

against poor performers. The department must put a system in place which ensures that supervisors and managers deal decisively with poor performers. In this regard it is further recommended that the outcome of credible external audits of the department's work be taken into account when appraising senior managers. This will ensure that there is congruence between the outcome of performance appraisals and attainment of service delivery targets.

Non-financial incentives should be implemented more meaningfully in the department, in accordance with the provisions in the Public Service Regulations, 1999. Examples of non-financial incentives include the following:

- (a) "Acknowledgement and recognition of performance excellence i.e. in department publications; specially created awards and certificates; citations at conferences/meetings; attendance at conferences etc.
- (b) Increased autonomy to organise own work and/or increased resources with which to perform work.
- (c) Public awards of various kinds made by management in recognition of a specific achievement or innovation or for consistent achievement over a specific period.
- (d) Specific access to specialised training and development opportunities.
- (e) Participation on a prioritised rotation basis in study tours or overseas and other visits" (DPSA, 2007).

5.5.2 Managers and supervisors must actively take steps to establish a performance and learning culture in the department: senior managers in the department must ensure that supervisors in their respective units do have one-on-one performance review discussions with their subordinates. This must happen at least twice a year, once during the half-yearly review and the other during the annual

performance assessment. Such performance review discussions will encourage communication between supervisor and employee, and stop the “paper compliance exercise” where subordinates merely complete performance management documents and send them to their supervisor’s office for signoff. A discussion on training needs of employees must also form part of the performance review discussion. If necessary, supervisors and subordinates must be trained on what such performance review discussions entail. Supervisors should also be trained on the common appraisal rater errors and how to avoid these.

With regards to the system in itself, it is recommended that consideration be given to incorporating elements of the 360-degrees system into the EPMDS - this would be in line with a Public Service Commission recommendation made in 2018, which was referred to in paragraph 2.13.2. Also, as indicated in the literature review chapter, 360-degrees feedback is beneficial for organisational development but can become an unpleasant labour experience should employees not be consulted before its implementation (Aslam et al., 2011 cited in Dube, 2014, p.33). Therefore, the recommendation to incorporate elements of the 360-degrees system into the EPMDS must be carefully managed, taking into account the prevailing culture of the public service and employees’ perceptions of the performance management system.

5.6 Report on key requirements needed to successfully implement the EPMDS

In the literature review it was indicated that the Framework on EPMDS lists two key requirements that must be in place to successfully implement the EPMDS, that is, the institutional framework and training on the EPMDS (DPSA, 2007).

In terms of the institutional framework, this research has found that 2 key role-players in the performance management process, the supervisor and subordinate do understand their respective roles and are prepared to participate in performance management processes, especially since the system does have benefits. However, as indicated in 5.4 above, employees do not readily participate in performance management processes because the system has become too much of an administrative burden and the process is undertaken as a “paper compliance exercise” instead of being a meaningful tool to motivate, develop and recognise employees.

With regards to training on the EPMDS, as specified in the literature review chapter, the KZN Department of Health does provide training on the EPMDS. However, due to the decentralised model of operation within the KZN Department of Health, the training is provided to HR officials of whom it is expected to train supervisors and employees in their respective organisational units. In this research, there was neither agreement nor disagreement by research participants that supervisors and employees receive adequate training on the EPMDS. Hence, it is recommended that the central HR department that does the training, puts a monitoring mechanism in place to ensure that training is indeed provided. This will ensure that the HR department plays a more active role in promoting the EPMDS and all supervisors and employees are trained.

5.7 Conclusion

The key findings of this research are as follows:

1. Employees do possess knowledge of the EPMDS policy.
2. Employees' are of the view that the EPMDS does have benefits and are prepared to participate in performance management processes.
3. In as much as employees hold these optimistic perceptions about the EPMDS policy, employees do not willingly participate in performance

management processes due to the system not being implemented properly and a non-enabling environment that is created by the employer.

The following recommendations are, therefore, made:

1. The KZN Department of Health must ensure that deserving employees are appropriately rewarded and poor performance is decisively dealt with.
2. Managers and supervisors should be instrumental in establishing a culture of performance and learning by ensuring that performance review discussions do take place.
3. The central HR department must ensure that all staff are trained in the EPMDS.

This research will add to the literature on performance management, especially in the public service at large, and specifically within the eThekweni District Office in the KZN Department of Health. The eThekweni District Office fulfills an important role in public health service delivery and will enhance its efficacy should the recommendations be implemented.

A suggested area of further research is on the institutional framework, which is considered a significant requirement to successfully implement the EPMDS. An important aspect of the institutional framework is the translation of objectives contained in the strategic plan, into the performance agreement of senior managers and their respective staff. An investigation to determine exactly whether this is being done and wherever gaps exist, to make recommendations with a view to addressing them, will further add to the body of knowledge on this topic.

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Appendix A: Ethical clearance approval from UKZN



Appendix A: Ethical clearance approval from UKZN

20 December 2017

Mr Ronald Duki 201511975
School of Management, IT and Governance
Westville Campus

Dear Mr Duki

Protocol reference number: HSS/2197/017M

Project Title: An Investigation into the Implementation of the Employee performance management and development system: A case study of the eThekweni District office in the KZN health department

In response to your application received 16 November 2017, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol has been granted **FULL APPROVAL**.

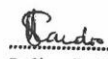
Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully


Dr Shamila Naidoo (Deputy Chair)
Humanities & Social Sciences Research Ethics Committee

/pm

cc Supervisor: Mr TAA Vajeth
cc Academic Leader Research: Professor Brian McArthur
cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee
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Informed Consent Document

Dear Participant,

My name is Ronald Duki, student number 20151175. I am a Masters candidate studying at the University of KwaZulu-Natal, Westville Campus. The title of my research is: An investigation into the implementation of the Employee Performance Management and Development System in the KZN Health department: a case study of the eThekweni District Office. The aim of the study is to investigate the implementation of the Employee Performance Management and Development System in the eThekweni District Office with a view to making recommendations on how to address the identified challenge of a lack of willingness by employees to participate in performance management processes. I kindly request that you complete a questionnaire so as to share your experiences and observations on the subject matter.

Please note that:

- The information that you provide will be used for scholarly research only.
- Your participation is entirely voluntary. You have a choice to participate, not to participate or stop participating in the research. You will not be penalized for taking such an action.
- Your views in this questionnaire will be presented anonymously. Neither your name nor identity will be disclosed in any form in the study.
- Completion of the questionnaire will take about fifteen minutes.
- The record as well as other items associated with the questionnaire will be held in a password-protected file accessible only to myself and my supervisor. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.
- If you agree to participate please sign the declaration attached to this statement.

I can be contacted at: Office 4B14, Highway House, Mayville. E-mail: Ronald.duki@kznhealth.gov.za, telephone 031 2405378.

My supervisor is Mr T A Vajeth who is located at the School of Management, Information Technology and Governance, Westville Campus, Durban of the University of KwaZulu-Natal. Contact details: e-mail vajeth@ukzn.ac.za. Telephone number: 0312607575.

Thank you for your contribution to this research.

Ronald Duki

DECLARATION

I..... (*full names of participant*) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire. I understand the intention of the research. I hereby agree to participate.

SIGNATURE OF PARTICIPANT

DATE

Appendix C

Research Instrument: Questionnaire

I am currently undertaking research as part of the Master's Degree in Commerce (HRM) which investigates the implementation of the Employee Performance Management and Development System (EPMDS) in the eThekweni District Office, KZN Department of Health. I would appreciate if you could take 10 to 15 minutes to complete this questionnaire and return it to me. All information gathered will be treated confidentially and results will be produced in aggregate form only. You may withdraw from participating in this research at any time, should you wish to.

If you have any queries regarding this research you may contact me at ronald.duki@kznhealth.gov.za or my research supervisor at vajeth@ukzn.ac.za.

Thank you for your participation,

Ronald Duki

Section A: Biographical information

1. What population group are you? (Please use a tick to respond)	
Black African	
Indian	
Coloured	
White	
2. What is your gender?	
Male	
Female	
3. In what age group are you?	
18 to 25	
26 to 34	
35 to 54	
55 and above	

Section B: Work information

Which section are you in (e.g. finance, HR, etc)?	
What salary level (from 1 to 12) are you on?	
Are you a supervisor?	
How many years have you been in public service?	

Section C: Employees level of knowledge of the EPMDS policy

Indicate the extent of your agreement/disagreement with the following statements:

	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
1. The purpose of the EPMDS is aimed at planning, managing and improving employee performance						
2. The aim of performance management is to optimize every employee's output in terms of quality and quantity, thereby improving the department's overall performance and service delivery						
3. The performance management process should ensure that all jobholders know and understand what is expected of them						
4. Performance must be managed in a consultative, supportive and non- discriminatory manner						
5. The performance cycle is divided into the following four integrated phases or elements: performance planning and agreement; performance monitoring, developing and control; performance assessment or appraisal; and managing the outcome of assessment.						
6. As an employee I understand my role in the EPMDS process						
7. I am aware of the timeframes for submission of EPMDS documents to the HR department						
8. My supervisor is/should be aware of the timeframes for submission of EPMDS documents to the HR department						
9. I am aware of the consequences of non/ delayed submission of EPMDS documents to the HR department						
10. My supervisor is/should be aware of the consequences for non/delayed submission of EPMDS documents to the HR department						
11. I have undergone sufficient training on the department's EPMDS						

Section D: Employee perceptions of the EPMDS policy

Indicate the extent of your agreement/disagreement with the following statements:

	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
1. There was sufficient consultation between myself and my supervisor during the completion of the performance agreement.						
2. The EPMDS process clarifies expectations regarding work responsibilities.						
3. My supervisor monitors my performance on a continuous basis.						
4. My supervisor is well prepared for performance reviews.						
5. I am well prepared for performance reviews (eg. I collect supporting facts on performance delivered, identify factors that affected my performance and identify support or training that will be needed).						
6. The performance assessment enables my achievements to be recognized.						
7. During the performance assessment, I am given adequate opportunity to respond to comments regarding my performance.						
8. As a consequence of the EPMDS, appropriate payments of performance bonuses in recognition of performance that is significantly above expectations are made.						

9. Indicate the extent of your agreement/disagreement on whether your supervisor makes the following error/s when rating your performance:

Errors	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
9.1 Central tendency: all employees are rated at the middle of the rating scale, that is, most employees are rated 3 although this should not necessarily be the case						
9.2 Halo effect: supervisor's personal feelings about an employee influences his/her rating of the employee						
9.3 Strictness: tendency to be overly critical of performance, eg. supervisor gives a rating of 3 instead of 4 or gives a rating of 2 instead of 3						
9.4 Leniency: a tendency to rate all employees at the higher end of the rating scale						
9.5 'Like me': a tendency for a supervisor to rate an employee more favourably because the employee is perceived similar to the supervisor						
9.6 Recency: the supervisor allows incidents (good or bad) of an employee's behaviour that happened just before performance appraisal to carry too much weight in evaluating performance over an entire rating period.						

Section E: Factors that prevent employees from readily complying with EPMDS policy

Indicate the extent of your agreement/disagreement that the following factors prevent employees from readily complying with the performance management process:

Factors	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
1. Heavy workload of supervisors						
2. Supervisors not committed to performance management processes						
3. Employees not committed to performance management processes						

Factors	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
4. The performance management process has become too much of an administrative burden (that is, too much paperwork)						
5. The performance management process has become more of a paper compliance exercise than a meaningful management tool to motivate, develop and recognize employees						
6. Performance bonuses are seldom paid hence employees are reluctant to readily participate						
7. Good workers are seldom recognized while poor performers seem to get away with mediocre performance						
8. Disciplinary action is not taken against defaulting employees and supervisors						
9. Training needs identified in the performance management process are generally not met						
10. Lack of communication between employee and supervisor						
11. The HR department does not actively promote the importance of performance management processes						
12. Supervisor-employee appraisal meetings are uncomfortable						
13. Supervisors do not provide constructive feedback; rather their feedback is vague and not constructive						
14. Supervisors do not fully understand the challenges being experienced by their employees which challenges prevent employees from achieving their set objectives in an efficient manner						

Section F: Recommendations on how to improve the implementation of the EPMDS

Indicate the extent of your agreement/disagreement that the following could improve the implementation of the EPDMS:

	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
1. All employees should undergo training on the EPMDS policy						
2. All supervisors should undergo training on the EPMDS policy						
3. Performance bonuses should be paid to deserving employees						
4. Performance management outcomes should be the primary method of identifying training needs						
5. Managers and supervisors should be instrumental in establishing a performance and learning culture in the department						
6. Supervisors and managers should deal more decisively with poor performers so that good performers do not become demotivated						
7. Non-financial incentives (eg. commendation letters, flexibility, study tours) should be implemented more meaningfully						
8. The HR department should play a more active role in promoting the EPMDS						

Thank you for your time