



**An Investigation into the Impact of Performance Appraisal on the Performance of  
Employees in the North West Provincial Department of Finance**

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## DECLARATION

I, Precious Kegomoditswe Manye, hereby declare that the dissertation entitled “An Investigation into the Impact of Performance Appraisal on the Performance of Employees in the North West Provincial Department of Finance” submitted to the North West University Mafikeng Campus, for the Master's Degree in Public Administration, is my own work and that all the sources consulted therein have been duly acknowledged by means of reference.

Signature \_\_\_\_\_

Date \_\_\_\_\_

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## **ACRONYMS AND ABBREVIATIONS**

**DPSA- Department of Public Services and Administration**

**HR-Human Resources**

**HRM- Human Resource Management**

**IDP- Integrated Development Plan**

**MBO- Management by Objectives**

**MLM- Mahikeng Local Municipality**

**PA- Performance Appraisal**

**PAT- Performance Appraisal Technique**

**PM- Performance Management**

**PMDS- Performance Management and Development System**

**PSC- Public Service Commission**

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## ABSTRACT

Performance management and development system encompasses a number of aspects, that relate to employee performance. Performance appraisal is a fundamental tool utilised by an organisation to ensure that employees are effective in their work. A clear valuation of effective work by employees can reveal that subordinates may be in need of motivation, rewards, development, training and good working relationships with their supervisor in an organisation. There are a number of legislations such as the Constitution of the Republic of South Africa (108 of 1996), Public Service Regulations (2016), Public Finance Management Act (1 of 1999) and White Paper on Human Resource Management in the Public Service, put in place in the Public Sector to provide public servants with guidance regarding the implementation of performance appraisal techniques.

A coherent performance appraisal technique requires development of a standard that calls for a successful performance by employees, gives positive performance feedback and enables a fair and unbiased rewards system. Performance appraisal is mostly linked with incentives within an organisation to motivate employees to perform beyond what is expected of them. While it may be a requirement in the South African government, not all employees receive their incentives when they deserve them.

The main area that has been investigated in this study is the lack of proper implementation of the performance appraisal technique employed in the North West Department of Finance in Mahikeng. For the sample in this study, 53% of the employees were identified to part take in the study.

The research results discovered that employees require their supervisors to motivate and communicate with them, distribute performance bonuses fairly and encourage them to attend training relating to the performance appraisal technique employed in the Department.

The researcher of this study identified a number of challenges relating to performance appraisal in the Department and made relevant recommendations on how the Department can succeed in dealing with such challenges.

## **CHAPTER 1: INTRODUCTION AND ORIENTATION OF THE STUDY**

### **1.1 INTRODUCTION**

Employee performance plays an important role in the organisational service delivery process. The introduction of an employee performance management and development system has brought about a number of ways in which employee performance can be assessed. A core element of performance management that plays a critical part is performance appraisal. Performance appraisal is a complex Human Resource technique that takes place between appraiser and appraisee, with the aim of improving performance, ensuring that targets are met in the workplace, and to assess the performance of employees by ensuring that the appraisal process takes place when necessary.

Performance appraisal techniques may differ from one organisation to another, which usually results in an impression of how employees function effectively in an organisation. The presence of a good performance appraisal technique in the North West Provincial Department of Finance can be of great value when executed properly and can be of great worth to the ultimate performance of employees and supervisors. This study investigates and provides an understanding of a performance appraisal technique, processes and assessment of employee performance for improved service delivery for the people of the Province.

The following aspects will be discussed in this first chapter of the study; the background of the study, definition of concepts, the problem statement, aims and objectives of the study, the research questions, the significance of the study, the research design and methods, scope of the study, limitations of the study, and the organisation of the study.

### **1.2 BACKGROUND OF THE STUDY**

#### **1.2.1 Historical overview of the problem**

A Legislative Framework guides the Department of Finance and the Department of Public Service and Administration, which seeks to uphold both the Constitutional, and Legislative mandate to ensure that employees in the public sector perform as expected and that service delivery takes place. Chapter 13 of the Constitution of the Republic of South Africa provides the Finance Department with guidelines regarding the utilisation and distribution of funds in all National Government Departments.

In Mahikeng in the North West Province, the Department of Finance facilitates improvement concerning financial management at both provincial and local government sphere. Local government constitutes all surrounding areas in the Ngaka Modiri Molema Municipality. The Department further seeks to provide improved financial management, which includes quality spending of the scarce resources by government departments. The plan of the North West Department of Finance is to strengthen the resource control unit, which is in the Provincial Treasury to make certain that it monitors spending throughout government departments and municipalities. Furthermore, the Department strives to improve quality of financial management and reporting so that the provincial administration can attain an unqualified audit opinion ([www.nwpg.gov.za/treasury/](http://www.nwpg.gov.za/treasury/)).

The vision of the North West Department of Finance is:

“to be the ultimate financial management authority and adviser on fiscal matters to the Bokone Bophirima Provincial and Local Administration in pursuit of transparency, good financial management and accountability to all its stakeholders. The Department's mission is to provide leadership in the management of public resources for efficient, effective and economic service delivery through well-coordinated support to provincial departments, public entities and municipalities” (Financial Provincial Handbook SA: 2016/2017).

Performance appraisal also offers supervisors and employees the opportunity for one-on-one communication as well as a technique of sharing the organisation's overall values, mission, goals, and objectives with all its members (Lyster and Arthur, 2007: 15). Performance appraisal can be regarded as a process of providing a solid foundation for a good relationship between supervisor and subordinate for the benefit of the organisation and the provision of goods and services.

### **1.3 PROBLEM STATEMENT**

Performance appraisal techniques provide managers and supervisors with a variety of benefits. If implemented correctly employees can perform optimally. However, if not properly implemented they can have dire consequences. There is literature on the nature of performance appraisal techniques and ways in which they can be implemented. It is important that Departments

evaluate the effectiveness and efficiency of their performance appraisal techniques. Therefore, this motivated the researcher to investigate the impact of performance appraisal on the performance of employees in the North West Department of Finance.

#### **1.4. AIM AND OBJECTIVES OF THE STUDY**

##### **1.4.1 Aim of the study**

The aim of the study is to investigate the effect of implementation of performance appraisal on the performance of employees in the North West Department of Finance in Mahikeng.

##### **1.4.2 The objectives of the study**

###### **i) Primary Objective**

The primary objective of this research is to assess and study the implementation of employee performance appraisal technique. The main attention is on the assessment of the processes with regard to the performance appraisal technique and its implementation to improve service delivery in the North West Provincial Department of Finance.

###### **ii) Secondary Objectives**

The secondary objectives for this study are to:

- Assess whether there is a need for the current performance appraisal technique employed in the Department.
- Assess whether the performance appraisal technique currently utilised relates to employee performance.
- Study and analyse the effectiveness of the current performance appraisal technique put into place and how it relates to employee performance in the North West Provincial Department of Finance, Mahikeng.
- Determine whether the feedback employees receive from their supervisors is beneficial in addressing performance gaps.
- Design appropriate remedial actions for implementation gaps identified in the Departmental performance appraisal technique.

### **1.4.3 Research Questions**

The research investigation entails questions such as:

1. How effective the current performance appraisal technique that is in place in the North West Provincial Department of Finance is.

The above research question encompasses sub-questions derived to establish whether:

1.1 The employees understand the current performance appraisal technique used in the Department.

- 1.2 Supervisors explain the current performance appraisal technique to employees.

1.3 The current performance appraisal technique allows employees to give their inputs about their perception of their work.

1.4 Employees are encouraged to attend performance appraisal training.

1.5 The current performance appraisal allows good communication between employee and the supervisor.

2. How the current position of performance appraisal in the Department affect employee performance.

The above research question encompasses sub-questions derived to establish whether:

2.1 Employee performance is monitored with regards to the performance appraisal technique employed in the Department.

2.2 Employees are allowed to give any input in the performance planning and appraisal process.

2.3 Incentives are put in place to encourage an employee to perform well.

2.4 Employees are given any motivation by their supervisor to perform better in their work.

2.5 Performance appraisal encourages independence and innovativeness.

### **3. Whether the feedback from the supervisors is beneficial to employee performance.**

The above research question encompasses sub-questions derived to establish if:

3.1 Employees receive beneficial feedback.

3.2 A supervisor provides employees with feedback as regular as possible regarding your performance.

3.3 Employees use the feedback they receive from their supervisor to perform better in their job.

3.4 Employees are able to deal with negative feedback.

3.5 Performance appraisal feedback facilitates the discussions on employee development.

### **4. How performance planning affects employee performance.**

The above research question encompasses sub-questions derived to establish whether:

4.1 Employees are given an opportunity to go through the steps put in place to plan for the appraisal session with their supervisor.

4.2 The performance appraisal plan includes career development.

4.3 Performance appraisal affords employees the opportunity to make adjustments to their planned activities.

4.4 Employees are given an adequate amount of time to plan for their performance appraisal sessions by their supervisor.

4.5 The planning process encourages a good relationship between an employee and their supervisor.

- What can be done to improve the current performance appraisal technique.

#### **1.4.4 Significance of the study**

The significance of the study is that the North West Department of Finance, Mahikeng is to be able to:

- Improve the appraisal technique, procedures and structures in place.
- Ensure the appraisal technique in place is up to date.
- Identify challenges in the appraisal technique utilised in the Department.
- Formulate strategies to ensure effective and efficient use of the performance appraisal technique.

### **1.6 RESEARCH DESIGN AND METHODOLOGY**

#### **1.6.1 Research design**

An empirical approach is employed in this study. Data was also be gathered through questionnaires. Mouton (2012: 65) emphasises that:

“The kind of study to be undertaken is uniquely dependant on whether it is practical or theoretical; the two major studies are empirical and non-empirical.”

#### **1.6.2 Research methodology**

The researcher adopted a quantitative research method. Thomas (2003:2) asserts that quantitative research uses both numbers and statistical methods. It tends to be based on numerical quantities of specific aspects of phenomena; it abstracts from particular instances to seek general descriptions or to test causal hypotheses; it seeks measurements and analyses that are easily replicable by other researchers.

Wiid and Diggines (2010:84) also agree that primary data can be collected through either quantitative research or qualitative research. Questionnaires were distributed to Department officials, excluding interns because they do not take part in the performance appraisal process. Secondary data was collected from a literature review on performance appraisal (articles, books and extracts). An empirical study can be described as a study that involves practical research, wherein the data being used is collected from how the institution functions, which is the method this study follows.

### **1.6.3 Population and sampling design**

Newman (2004: 205) affirms that a population can be a group of individuals who inhabit a particular space at a specific period or a mutual classification of beings who share the same kind of attributes (or any additional groups within which persons are able to exchange genetic data). The population of this study constitutes of 53% of the employees in the North West Provincial Department of Finance in Mahikeng. Sampling involves the selection of some part of a population to assist in observations that one may estimate something about the whole population being researched (Thompson, 2012: 1). In the area of study (The Department of Finance in the North West, Mahikeng) there are 493 employees; 118 are employed on contract and 375 are permanently employed by the Department. A total of 200 questionnaires were handed out to employees. Interns were excluded from taking part in this study because they do not take part in the performance appraisal process.

## **1.7 DATA COLLECTION**

Data collection in any research assists in ensuring that relevant information is collected to enable the researcher to make recommendations on the problem identified. Information was collected from documented sources (books, articles, journals, public service performance reports, and dissertations). Furthermore, questionnaires were distributed to employees, which are aimed at evaluating their views on the performance appraisal technique employed in the North West Department of Finance.

### **1.7.1 Data analysis**

#### **1.7.1.1 Quantitative data analysis**

Data collected in this study is analysed using Microsoft Excel (Spread Sheet programme) including figures and tables. The programme allows the researcher to enter the collected data and get accurate results.

#### **1.7.2 Scope of the study**

The research is limited to the employees in the North West Provincial Department of Finance in Mahikeng.

## **1.8 LIMITATION OF THE STUDY**

There are numerous challenges which may possibly be encountered during this research, which are:

- Waiting for the response from the Department.
- Participants not submitting the questionnaires on the agreed date.
- Participants not divulging significant and truthful information in the research.

## **1.9 ETHICAL CONSIDERATIONS**

The study took into account both ethical values and principles that are particularly expressed in the ethical code of the North West University (NWU), Mafikeng Campus. The faculty's Research Ethics Committee to ensure that ethical consideration is complied with granted an ethical clearance. The study considered the necessary guidelines regarding issues of plagiarism as provided for in the NWU guidelines. Participants in this study were treated with utmost respect and consideration. The researcher ensured that participants understood that this study was for academic purposes only. The researcher answered all questions seeking clarity regarding the study, which were posed by participants.

## **1.11 CONCEPTUALISATIONS**

### **i. Performance management**

A generic definition of performance management relates to the application of processes, techniques and systems which maintain and improve an individual's performance whilst at the same time aiming to improve the performance of an entire organisation (Hale and Whitlam, 2000:2). Armstrong (2006:495) as cited by Makamu (2016: 12) defines performance management as a predetermined procedure for improving organisational performance by developing the performance of individuals and teams. Performance management can thus be defined as a technique put in place in an organisation which guides employees on how they are supposed to perform in the realisation or attainment of the organisational goal.

## **ii. Performance appraisal**

Fletcher (2001: 22) as cited by Flaniken (2009:2) defines performance appraisal as a group of interactive processes for determining job expectations, writing position descriptions, determining appraisal criteria, developing assessment tools, and collecting as well as reporting on results. Daley (1992: 1) asserts that performance appraisal is a pivotal management technique. A myriad of purposes, from workplace decisions (promotion, demotion, retention, transfer, and pay) to employee development (feedback and training) are served by the use of performance appraisal. The said concept can be defined as processes used by organisations to assess the quality of tasks being performed by employees. It further assists employees to develop in their line of work through utilising the feedback they receive from their supervisors.

## **iii. Performance planning**

Bhattacharyya (2011: 32) defines performance planning as an arrangement of steps for performance expectations and goals for an individual and groups, keeping pace with objectives of the organisation. Performance planning can thus be defined as a process of considering systematically arranged steps towards the attainment of set goals.

## **iv. Organisation**

Rainey (2009: 10) defines an organisation as a set of organs that make up a whole organisation to meet its set goals and objectives. Similarly, Murugan (2007:131) states that the term organisation means different things to different people. It is used widely to mean a group of people, a structure of relationships, a process and function of management. An organisation is a system that functions as a whole to reach or attain one common goal. It includes employees utilising resources of the business so as to meet the needs of citizens or produce goods and (or) services.

## **v. Evaluation**

Evaluation is the logical steps followed to assess the worth or merit of people (Stufflebeam and Shinkfield, 2012:3). Evaluation is a process put in place to establish whether set targets were attained during the planning phase.

## **1.12 ORGANISATION OF STUDY**

### **1.12.1 Chapter one: Introduction and orientation of the study**

Introduction and orientation is the first chapter and gives a clear overview of the study. It consists of background on the performance appraisal as an approach of enhancing employee performance in the public service for improved efficiency and service delivery, a problem formulation of the research, research questions, aim as well as objectives. In addition, the chapter comprises conceptualisations, research methods used for collection of data, data analysis, limitations, ethical considerations, and definition of concepts.

### **1.12.2 Chapter two: Literature review**

In this chapter, a review on performance appraisal will be discussed. The theoretical data for the literature review will be discussed, relating to what numerous authors and scholars have to say with regards to performance appraisal, and diagrams relating to performance appraisal technique.

### **1.12.3 Chapter three: Overview of the performance appraisal Policies and Framework adopted in the North West Provincial Department of Finance**

The focus of this chapter will solely be on the framework as well as policies which relate to performance appraisal technique adopted in the Department. It will further focus on related roles and legal considerations when taking up an appraisal system.

### **1.12.4 Chapter four: Research design and methodology**

In this chapter, the research design and methods adopted in this study are discussed.

### **1.12.5 Chapter five: Data presentation, analysis and interpretation**

Chapter five encompasses the presentation, analysis and interpretation of data to give a clear illustration of the data collected from different sources. In this chapter data will be presented by means of tables and charts, and analysed both qualitatively and quantitatively.

### **1.12.6 Chapter six: Findings, conclusions and recommendations**

In chapter six of the study, the researcher will summarize the findings briefly. The chapter will be introduced and conclusions relating to findings will also be made. In chapter six of the study

the researcher will offer the recommendations from findings as emanating from the problem on performance appraisal and the main research question.

### **1.13 CONCLUSION**

A conclusion can be made in this chapter with the understanding that performance appraisal plays an integral part in the performance of employees historically even in this day as made evident by sources relating to the literature in this chapter. The introduction of the process permits both appraisee and appraiser to come up with ways for better service delivery as a result of fair appraisal measures. Through comprehension of the first chapter of this study, one can come to perceive the integrated performance appraisal process by explaining the application of the technique and have a further understanding of overall problem arising from the study in focus.

Through the identified problem, this study focuses on what other authors say about performance appraisal and its processes and systems as well as how it is executed. This will allow the researcher to critique and come up with solutions to problems that will arise in relation to the performance appraisal technique employed in the North West Provincial Department of Finance. The next chapter discusses the literature review relating to performance appraisal.

## **CHAPTER 2: LITERATURE REVIEW**

### **2.1 INTRODUCTION**

Performance appraisal is an essential component of performance management. This entails that without the existence of performance management, performance appraisal would not be able to exist. Performance appraisal affects an employees' promotion and/ or demotion prospects, being transferred to another position or level within organisation, salary increase, career development or eligibility for selection to undergo training that affects any of the above mentioned factors.

Performance appraisal provides a great meaning of the employees' usefulness, as well as detecting main areas of work where employees require the most training to enable them to perform to the requirements of their job description. A satisfactory performance appraisal technique can be a useful mechanism to ensure that a great level of motivation through feedback given to employees is maintained (Chen, 2011:31). This chapter elucidates some of the most important aspects of performance appraisal, as well as how it is applied in the North West Provincial Department of Finance in Mahikeng.

According to Mouton (2001: 86), it is of utmost importance that a research project starts with the review of the existing literature in its particular field of study. "A literature review makes the researcher mindful of what has been written at present, to avoid replication of study and needless repetition. A review such as this assists the researcher in the process of consolidating the theoretical foundation of the study" (Munzhedzi, 2011:12). The researcher seeks to discuss critically the literature review with the main aim of establishing the application of a performance appraisal technique employed in the Department as well analysing methods and techniques that are closely associated with the study.

### **2.2 HISTORICAL DEVELOPMENT OF PERFORMANCE APPRAISAL**

Organisational analysts have conventionally regarded performance appraisal as a conventional measurement of a problem in any organisation. In this regard, it is viewed as a matter which can be used to measure an employees' performance through criteria that are set for an employee to reach organisational goals. In the past, performance appraisal was seen as an ordinary exercise of filling out an evaluation form however, when done in a meticulously, it can be said to be a process, not a document.

Performance appraisal also provides both managers and employees the chance for one-on-one communication and a means of sharing a common understanding of the same organisational values, mission, goals, and objectives (Lyster and Arthur, 2007: 15). It can be regarded as a process of providing a solid basis for a good working relationship between supervisor and employee for the benefit of the organisation, and ensuring that the public can be provided with goods and services in an effective and efficient manner.

The direct supervisor has historically been the primary, if not the exclusive, appraiser of performance. Even in organisations that provide for supervisors to review the complete appraisal form before it is discussed with the individual, the role of the upper management has been less to provide input to the appraisal narrative and ultimate rating as it has been to ensure the report and rating were consistent with what they had seen from a different perspective. Over the past few years, particularly with the recognition brought about through the Total Quality Management (TQM) philosophy, the emphasis has shifted away from viewing the supervisor as the sole determinant of the good and bad aspects of performance and instead towards viewing her simply as one of the many customers served by the individual being appraised (Grote, 1996:237).

The existence of performance management enables performance appraisal to take place in the public sector. Performance management is the action that is used to indicate the actual performance of employees in organisations to ensure that set goals are reached at the set time and within the required (set) performance standards. The reason for the existence of performance appraisal system is for managers to use it to identify problems or performance gaps in order to take corrective or remedial actions or interventions and even document important events in the particular employee's career. With this in place, managers are able to track how employees perform by constantly making sure that appraisal sessions take place during or at appropriate intervals.

### **2.3 TYPES OF METHODS USED FOR PERFORMANCE APPRAISAL**

Any performance appraisal system requires a performance appraisal tool to be carried out in an organisation. Each performance appraisal process is intricately in line with the instruments it employs for both the employee and the organisation.

There are numerous appraisal approaches as well as tools that may be useful to assist in appraising an employee's work performance. Some are explained by Chan (2011: 46) as follows:

### **2.3.1 Ranking scales**

The main attention of the ranking scales is on the behaviour and outcomes of individual employees. The said scale is established through picking a number of different characteristics that are related to a particular task. A person responsible for being the appraiser later critically rates the employee in relation to a number of clear work tasks or personal abilities by ticking from the highest to the lowest score, depending on how the employee performed. A non-graphic ranking scale, on the other hand, is more effective than the graphic measure. The employee is graded in relation to a transitory depiction connecting to every point that is on the measure used by the appraiser.

### **2.3.2 Proportional methods**

Grading disregarded to be the easiest appraisal technique used. The appraiser carefully grades employees based on excellence (ranging from excellent to poorest). Grading is usually associated with an evaluation of the total performance of an employee. The grading mechanism is common where there are large numbers of employees under consideration. The eventual grading of every employee involved would then be regulated by every instance when he or she is being judged depending how well he or she can perform better than other employees in the organisation. Forced spreading mainly necessitates the supervisor to distribute employees' assessments in a pre-described spread.

Similar appraisal denotes classifications of two employees who are being paired together to be compared. Each employee is critically compared with each additional employee for comparison or compatibility, belonging to a specific group. Each time an employee is chosen, a judgment is made, and performance scores guide the determined outcome based on the number of times a particular employee is ranked greater than his or her fellow employees.

### **2.3.3 Critical case**

This particular technique sets its focus on continuous recordings of job conduct of an employee, to reflect his or her performance in relation to either achievement or failure. It is regarded to be an arduous method that is usually used to describe the strong points and flaws of employees in an organisation.

### **2.3.4 Essay technique**

The essay technique method requires a written report to enable an appraiser to evaluate the strong points or flaws of the employees. It is similarly considered an arduous technique that generally depends on the rating person's writing abilities and also depending on how good their reporting skills are. Another laborious technique is one which requires for specific points to be addressed in a report of an employee.

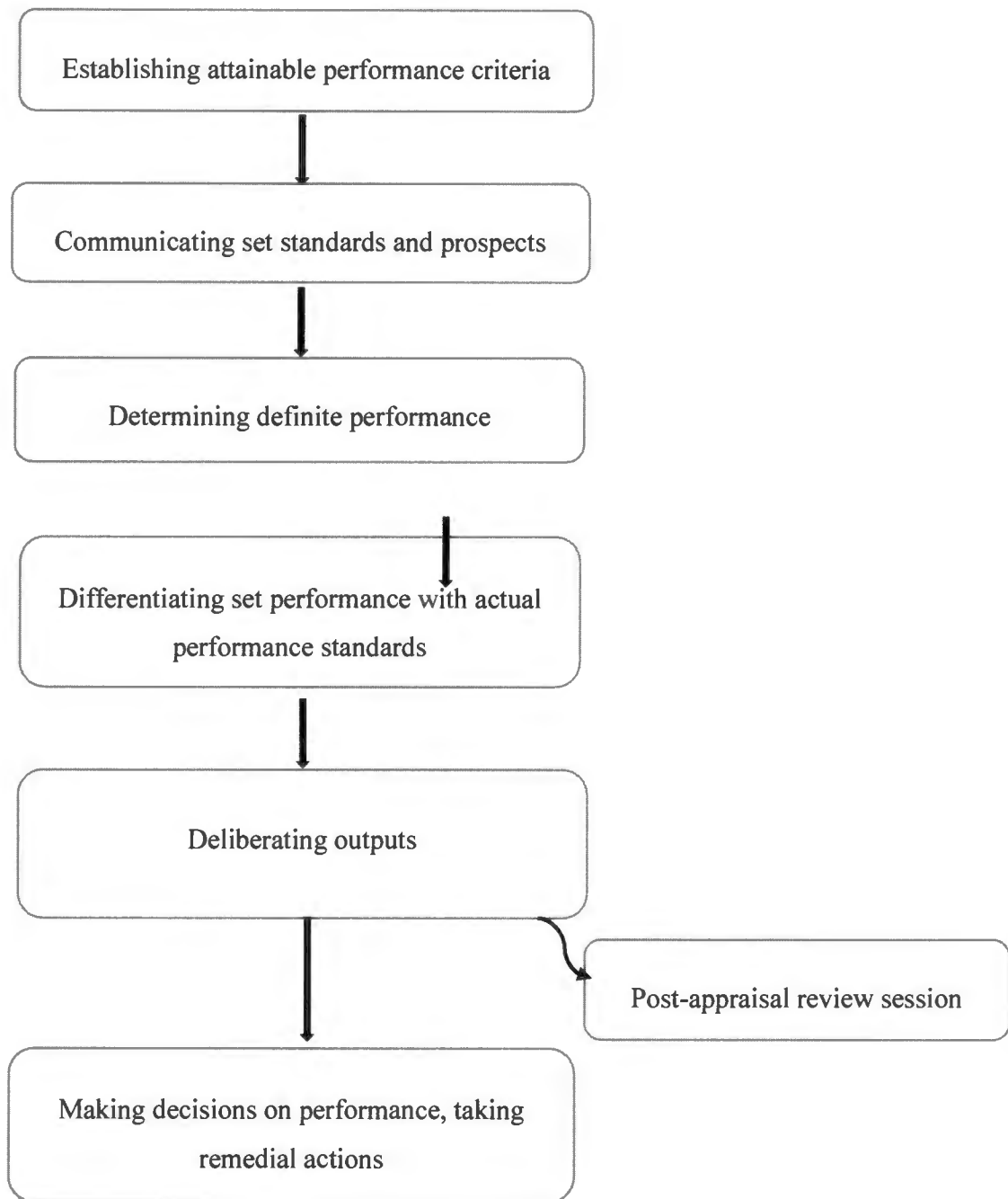
### **2.3.5 Management By Objectives (MBO)**

This particular technique is said to be motivation driven. It offers a phase for goal-setting, relating to the establishment of long-term objectives of the organisation. Erasmus (2005) as cited in Chan (2011: 46) explains that the method entails the following aspects:

- Public sector managers and employees mutually being able to establish and discuss precise objectives and communicating plans for better working relations;
- managers in the public sector assisting and mentoring employees to attain the goals they set; and
- every manager in the public sector as well as employee revising, during a set time, how the attainment of these objectives will be done.

## **2.4 PERFORMANCE APPRAISAL PROCESS**

A performance appraisal process is an essential element of any organisation. It is put in place to guide employees in an organisation how they are expected to carry out a performance appraisal technique. The performance appraisal process adopted from Kumar (2010:220) below is one that is set out to ensure that employees follow a systematic performance appraisal process.



**Figure 2.1: Performance Appraisal Process**

Source: Kumar (2010:220)

#### **2.4.1 Establishing attainable performance criteria**

Performance standards encompass the target against which actual performance is set to be measured. In process the of performance appraisal, this is the first step which is put to use as a base to enable organisations to match the final performance of an employee. This specific step requires setting specific criteria to enable a supervisor to judge the performance of employees. Set standards must be very clear, comprehensible, and in reasonably measurable terms. In a case where the performance of an employee cannot be rated, his or her supervisor should be able to communicate the standards with great diligence. In actual fact, set performance standard swill depend specifically on the goals of the actual appraisal, that is to say, to be able to appraise actual performance on the present job or to judge potential for a higher job. These criteria will be of great assistance in positioning measures for appraising performance (Kumar, 2010:220).

#### **2.4.2 Communicating set standards and prospects**

Once set, the responsibility lies with the managers to communicate the set standards to all the employees of the organisation. Employees ought to be well informed and the standards should be clearly explained to them.

#### **2.4.3 Determining definite performance**

The most problematic part of any performance appraisal process is being able to measure the actual performance of an employee, that is to say, the work that is being done by the employee during a specific period of time. Such a measurement of actual employee performance is a continuous process, which involves monitoring the performance throughout the year. This stage needs careful selection of the suitable techniques relating to measurement, ensuring that personal bias does not at any point affect the result of the process, providing help, and interfering in an employee's work. Personal observations, written reports, face-to-face contact and feedback forms are the means of collecting data on performance. What is measured is more important than how it is measured.

#### **2.4.4 Differentiating set performance from actual performance standards**

Definite performance is linked to actual desired performance criteria set. The contrast can be able to tell the deviations in the actual performance of an employee from the standards agreed upon. Results can demonstrate how actual performance is greater than the desired performance or far less than the desired performance, depicting a negative deviation in the organisational performance. It includes recalling, evaluating and analysis of data related to the employee performance.

#### **2.4.5 Deliberating outcomes; providing performance (post-appraisal review session)**

During the performance evaluation session between supervisor and employee, feedback is given to an employee concerning his or her preceding performance or future prospects. There is communication and an open discussion about the outcomes of the employee with the supervisor on a one-on-one basis. The main focus of this particular discussion is based on both communication and listening. Aspects that are discussed include results, problems encountered as well as possible resolutions; they are critically deliberated with the aim of resolving problems and making decisions on how to deal with problems. The feedback by the supervisor should be given with a positive outlook as this can affect the future performance of an employee. The main reason for a performance appraisal session should be specifically based on solving problems an employee is confronted with and motivate him or her to improve the performance. There are procedures or precautions that are put into place to ensure that the performance appraisal method is effective.

#### **2.4.6 Making decisions on performance, taking remedial actions**

This is the final step in the performance appraisal process. It entails making decisions which can be effected to either develop the performance of an employee, take required remedial action, or involve the HR decisions in the form of rewards, promotion, demotion, transfer, training offered by the organisation, coaching and mentoring by supervisor, counselling, and so forth. These actions are some of the relevant examples of taking remedial actions that can assist in improving an employee's performance.

The above process of performance appraisal assists managers and supervisors to make decisions that are sound and equally fair, based on the tasks done by employees.

## **2.5 PURPOSES OF INDIVIDUAL PERFORMANCE APPRAISAL**

Performance appraisal has a number of purposes for its existence at an individual level. Joseph and Gupta (2009:27) state that the following purposes of performance appraisal are present at the individual level:

- **Planning:**

The first of the three is planning. The performance appraisal should at all times lead to discovering new opportunities that are in place for employees in developing, timing and career planning, identifying personal potential and training needs that exist, setting objectives that relate to performance development, identifying both strengths and weaknesses and estimating resources that are required for employees to execute roles excellently and resourcefully.

- **Functioning:**

Individual appraisal should promote sharing experiences, cooperative learning, improving relationship with stakeholders and co-workers, personal improvement, sharing resources with others, having clear roles and areas of responsibility, on-the-job learning, searching for teamwork from superiors, peers and subordinates, receiving profitable and helpful feedback for improvement purposes and progress in the organisation.

- **Performance:**

The last aspect is performance and is about assisting in the improvement of confidence, growing job fulfillment, undertaking personal evaluation and having relevant knowledge about desired and undesired behaviour.

## **2.6 A GOOD PERFORMANCE APPRAISAL TECHNIQUE**

According to Bhattacharyya (2011:58) objectives of a good performance appraisal technique are:

- remedial objectives that help in correcting the low performance behaviour of employees through different human resource actions;
- developmental objectives of performance appraisal technique that enables employees to grow in their present and future jobs. Such objectives are met first through identification of

training needs and then the administration of such training to improve the employee's performance. It even extends to career development in the form of promotion;

- innovative objectives which facilitate discovering ways to deal with new jobs and also streamlining the process of doing the existing jobs; and
- motivational objectives of performance appraisal, which are rewards, incentives, effective communication, and better interpersonal relations.

## **2.7 MOTIVATION AND PERFORMANCE APPRAISAL**

### **2.7.1 Motivation of employees**

Motivation is the procedure that stimulates employees and pushes them to seek their objectives. Efficient and well-implemented performance appraisal has a solid motivational effect. Berman, Bowman, West, and Van Wart(2016: 218) emphasize that motivation theories may vary according to what is being emphasised. While there is general agreement that motivation is mainly related to the drive or energy (an inner state) that compels employees to act with energy and perseverance towards their goals, the question that is most important is 'which factors affect this energy?'. Some theories focus mainly on factors inherent to an individual employee, such as their basic need for existence, achievement, appreciation/belonging, or growth, as well as their energy level and mental state (e.g., the energy needed by the employee to pursue different tasks allocated to them in the organisation).

### **2.7.2 Techniques of employee motivation**

Ganta (2014: 227) explains a number of techniques used to motivate employees in the workplace as expounded below.

#### **2.7.2.1 Job Expansion**

Ganta (2014: 227) affirms that job expansion is about expanding an employee's job to allow him or her to do more work that is related to the work they already do. This might be permitting employees to be able to complete the entire task rather than just some parts, for example, employees being involved in on-going consultation with citizens regarding service delivery. This particular procedure ideally eliminates employee job-related boredom by eradicating repetition of work tasks, letting them finish the entire process, and increasing accountability.

### **2.7.2.2 Job Enhancement**

Ganta (2014: 227) explains that job enhancement is an endeavour to ensure that employees have more control over tasks given to them and more accountability for design, implementation and output. The employee takes on some of the functions that were previously carried out by his or her immediate supervisor or by his or her co-worker.

### **2.7.2.3 Job Rotation**

Ganta (2014: 227) states that job rotation is an exercise whereby every employee gets to learn a number of tasks in the process of service delivery and alternates through each one of them during a set period. However, when an employee rotates, the organisation obtains information about the value of a number of jobs an employee is able to match. On the other hand, if an employee does not rotate, only direct information will be obtained about a single match; however, the information an organisation gets about this single match in particular is reliable.

“When employees are accurately appraised, they are given the opportunity to improve and feel appreciated for their efforts. Ambiguity is diminished and a leader has given employees the right tools to succeed and feel good about it once they have improved” (Hess, 2012:138).

## **2.8 PERFORMANCE APPRAISAL TRAINING**

### **2.8.1 Training in the workplace**

The role of training plays an integral part in ensuring that suitable appraisal takes place. Fletcher and Williams (2013: 98) emphasise this by asserting that:

“The role of training in determining the success of an appraisal scheme cannot be overestimated; this has shown how the effectiveness of performance appraisal is related to the training effort put into by the organisation concerned.”

In relation to training in an organisation, concerning appraisal, Fletcher and Williams (2013: 99) further elaborate that:

“Background briefing and documentation is an element of performance appraisal that can be run as part of an appraisers’ skills course or as a separate, preliminary session. The

briefing session should normally be held fairly shortly before the appraisal training courses (if these are separate) and the first round of appraisal.”

Deb (2009: 286) emphasises that performance appraisal of all employees in an organisation would reveal problems and deficiencies, some of which could be traced to the absence of the required knowledge, skills, behaviour and so on. These findings could be formulated, as training needs, thus providing information about which effective training programmes can be developed. Training addresses short-term performance concerns as well as broadening an employee’s skills and competencies for future responsibilities. Short-term performance issues can be addressed through training by enabling the employee to do his job correctly, effectively and conscientiously:

- (a) Correctly, in that an employee can apply whatever he or she has been taught;
- (b) Effectively, in that an employee may be in a position where he or she can perform to the expected standards of performance; and
- (c) Efficiently, in that the behaviour of the trainers can bring the trainees to the position where they can put their maximum effort at the right time

Thus, training can help rectify past performance deficiencies as assessed by performance appraisal instruments and also include better performance in the future. It can do this by providing new and additional competencies, motivation and support to the employees as assessed through competent assessment made by performance management and appraisal techniques.

The best performance appraisal technique on the planet will come up short if those in charge of implementing it are not equipped with adequate training to utilize the system (MacLean, 2001: 110). It is critical that the managers responsible for the appraisal should be trained, and it is likewise essential that all others inside the organisation be given some introduction to the procedure. Preparing is essential for two fundamental reasons: firstly, to give the information and skills to utilise the performance appraisal framework well. The second reason is that it is fundamental to guarantee that processes intrinsic to the human resource administration of an organisation are valid. Effective training for performance appraisal also enables employees to acquire skills which are essential, such as negotiating, coaching, and motivating (MacLean, 2001: 110).

### **2.8.2 Training the appraiser**

Training the appraiser is not a task for individuals who are apprehensive about appraisal. Many managers do not have confidence in their ability to handle appraisal interviews effectively, and so they tend to cling to the paperwork. Some have an exaggerated idea of what appraisal involves and what it demands of them. They see appraisal as being similar to professional counseling, and feel ill-equipped to take it on. Others, on the other hand, try to make it sound trivial or unnecessary (Fletcher and Williams, 2013: 100).

### **2.8.3 Training the appraisee**

Fletcher and Williams (2013: 101) assert that research tells us that when those being appraised put more into preparing their appraisal, the appraisal session lasts longer, and longer appraisal sessions are associated with outcomes that are more positive. Commonly, appraisee courses are simply briefing sessions, with no real practical component, so they can easily be delivered online. They sometimes take place within the broader context of induction courses. The content of appraisee training to some extent mirrors that of the appraisers. Training appraisees can include the following:

- background briefing: at the very least, they need to know what the aim of the appraisal is and how the appraisal process works;
- how to prepare: this may be providing them with an agenda, or giving them a preparation form, or it may include how to complete a personal appraisal form that is an essential part of the performance appraisal process;
- guidance on setting objectives: this should encourage the appraisees to think in advance about what these might do for them in the future, and give some training on how these objectives ought to be outlined;
- having discussions relating to personal assessment: this must look closely at both the strengths and weaknesses of personal evaluation, and review these particular areas during the appraisal session;

- responding to criticism: one of the uppermost concerns in an appraiser's mind is the viewpoint of criticism and how appraisees will react - talking through the issues here can help them respond more constructively and confidently if and when it happens;
- assertiveness training: some basic guidance can be given to enable appraisees to put their own opinion across to their supervisor without them becoming defensive or temperamental; and
- taking action: the appraisees can be motivated to take the initiative to make follow up recommendations, to make sure that these are properly implemented.

## **2.9 PERFORMANCE APPRAISAL AS A TOOL FOR EMPLOYEE DEVELOPMENT**

Van der Waldt (2004: 245) states that performance appraisal can be used in numerous ways to encourage employee development. It plays a role in reinforcing and improving performance, as well as determining career goals and training needs. Developmental uses of appraisal focus on improving employees' future performance and career development. Using performance appraisal as an employee development tool can place the supervisor in a supportive and reinforcing role. By providing feedback on past performance, a supervisor can encourage employees to maintain acceptable behaviour. The supervisor can make use of data from the performance appraisal meeting to design methods, which an employee can use to help him or her perform better.

Performance appraisal sessions give the supervisor and employee a chance to have a discussion regarding an employee's long-term career objectives and plans. Supervisors are allowed to advise employees on which steps to take achieve the set objectives. In relation to past performance, a supervisor can provide an employee with short-term, detailed recommendations on how to improve performance in ways that will assist an employee to be able to achieve long-term job objectives. Consequently, the employee may perhaps become driven to perform better in his or her current position because it is regarded as an essential step to attain an ultimate objective.

Performance appraisals are also important because of the numerous ways in which they contribute to employee education and development. In order for anyone to learn, he or she needs to receive feedback on his or her performance. Performance appraisal is an outstanding educational tool because the entire process is based on providing feedback (Lloyd, 2009).

MacLean (2001:10) avers that:

“Older approaches to performance appraisal that focus on the performer were called *trait-based system*. These largely archaic systems focused on the development of a listing of traits or personal attributes that were presumed to result in good job performance. These types of systems stressed not what the employee did or produced, but what kind of person the employee was. Such systems may still exist in some organisations, but a focus on what an employee is, as opposed to what he or she does, is largely outdated and does not predict successful performance. Given that trait-based data provide little catalyst for change and little reflection on actual job achievement (in addition to the fact that they are unlikely to survive legal scrutiny) this system is not recommended for use.”

## **2.10 PERFORMANCE APPRAISAL INTERVIEW**

The performance appraisal interview is an important factor of an employee's job. With this being said, there are a number of steps that need to be considered when the interview takes place. Grobler (2005:292) asserts that there are a number of problems associated with conducting interviews, but the following are five steps that should be generally covered (although they might vary from one organisation to another):

- Preparing for the performance appraisal interview: an important aspect for a successful appraisal interview is to be well prepared. During this stage, the supervisor must gather and go through all the previous performance records that are instrumental. These may consist of all data relating to work output and standards, employee's absence, punctuality and so forth. Supervisors make use of an outcome-based performance appraisal technique and all performance objectives that have been revised to help determine which ones were achieved as well as those that remained unachieved. The supervisor must essentially be able to provide appropriate acts that support the results. The relevant supervisor is then required to make summaries relating to specific points for discussion during the performance appraisal interview. Lastly, preparation involves setting a day and time for a performance appraisal interview to take place, which allows an employee to have enough time to be able to prepare for the interview and also develop important points for discussion.

- The supervisor should disclose why the performance appraisal interview should take place: the employee has to be made aware whether the particular interview will deal with reward and employment pronouncements (increase in the level of merit, promotion in their position, transfer, and so on), employee growth or both. Some managers, on the other hand, would try to avoid discussing both compensation and staffing choices (growth matters) with employees in the same performance appraisal interview.
- Indicate precise areas that are of satisfactory performance and those that require development: supervisors normally start off by emphasizing areas where an employee performs best. Appreciation and acknowledgment for good work are the most essential ingredients of the performance appraisal interview. Areas where performance of an employee is in need of improvement are deliberated next. Once more, the supervisor needs to be very specific about the areas of performance that need to be improved and avoid touching on any personal matters. The main focus should relate to the job performance.
- Allow for the employee to participate throughout the performance appraisal interview. An employee has to be given a chance to express an opinion about the discussion. This will enable the employee to express his or her view and be able to indicate why some performance problems occur. It can also be an appropriate time to clarify any misinterpretations that may still exist about what is expected from the employee in the job. When the supervisor is done with communicating job objectives, goals and standards, an employee should not at any given time receive surprises during the course of the interview.
- The next step involves compiling the employee's development programme. Employees are more likely to be dedicated to developmental programmes only if they agree with the supervisor that the programme is an essential part of improving their job skills and abilities. Employees, who are not aware that a problem exists or that a programme of development is necessary to promote career goals, will be uninterested in development. Supervisors need to clearly indicate to their employees that development is very important for them to succeed in the organisation.

## **2.11 COMMON ERRORS IN PERFORMANCE APPRAISAL**

### **2.11.1 Errors by managers or supervisors**

There are a number of errors, which are commonly committed when appraisal takes place. Hellriegel *et al*(2004:247) as cited by Tlowana (2009:30) states below the four common errors that managers or supervisors commit when appraising their subordinates:

#### **2.11.1(a) Rate characteristics**

“Each individual who is engaged in rating the actual performance of others brings his or her own features to the task at hand. As a result, the characteristic of a rater often has a subtle and indirect effect on performance appraisal” (Tlowana, 2009:30).

#### **2.11.1 (b) Leniency**

“Leniency on the other hand, takes place when an individual rates all employees in an organisation at a level that is higher than they deserve. Leniency is most likely to take place when there are no norms in the organisation that are in contradiction of high ratings and when rewards offered are not pinned to performance appraisals. Binding rewards to appraisals in most cases puts a regular limit on the high number of ratings that managers can offer and the organisation can have the funds for” (Tlowana, 2009:30).

#### **2.11.1 (c) The halo effect**

“This effect arises from a point where the knowledge of the person rating an employee’s performance colours the evaluation of all other employees. In other instances, an equivalent rating on overall dimensions does not reveal any error in the judgment- an employee can essentially at any given time execute all given tasks similarly well or similarly poorly. Nevertheless, numerous employees execute tasks given to them a lot better compared to other tasks, this results in their scores differing from one performance measurement to” (Tlowana, 2009:30).

#### **2.11.1 (d) Central tendency**

“The central tendency rating occurs when a manager in an organisation rates all employees as “average”, this is even when the performances of employees differ. Managers who have broad spans of control as well as little chance observing conduct are

most likely to rate employees by playing it safe rating subordinates in the middle of the scale, instead of high or low on it” (Tlowana, 2009:30).

## **2.12 SHORTCOMINGS OF PERFORMANCE APPRAISAL TECHNIQUE**

With the increased significance of performance appraisal, challenges confronting the system are mounting. One serious challenge related to the performance appraisal technique pertains to assessment of the self-managed teams. Popularly called empowered teams, these self-managed teams create special challenges for performance appraisal – empowered teams perform without supervisors. Another challenge is that both, individual and team performance need to be measured (Aswathappa, 2013: 358).

Aswathappa(2013: 359) states that poor performance may be the consequence of faulty hiring. Exiting poor performers provides an opportunity for HR professionals to have another look at the hiring process, identify weaknesses and address them before the same problems are repeated.

## **2.13 PERFORMANCE FEEDBACK**

With regard to performance feedback, some employees dread the outcomes, while others cannot wait to hear what their supervisors have to say about their performance. This happens in some instances when employees are not ready for what they have to hear about their evaluation. Performance feedback assists both the supervisor and appraisee in such a way that it helps them determine how to deal with matters moving forward, as well as projecting for the future and what the expectations are. According to Herdoldt & Marius (2000: 10), the following are reasons why there should be performance feedback:

- Appraiser must give information to the appraisees about the way he or she sees their performance. This is usually a summary of what has been collected and documented during the appraiser’s observation and how he or she has interpreted it (i.e. what it means). The appraiser will usually provide this in the form of critical incidents.
- Appraiser must allow individuals an opportunity to provide him or her with information about how they see their own performance. They will provide critical incidents of their own. This gives the supervisor an opportunity to change his or her interpretation based on the new information.

- To talk about obstacles to better performance and what both supervisor and employee can do to remove them.
- To give both the supervisor and employee the chance to re-contract and agree on follow-up dates. This includes remedial steps to bring performance up to standard.
- To give both the supervisor and employee a chance to assess the individual's potential for redeployment or advancement. In essence, they both have to think about those behaviours and skills that could be transferred to another job or organisational environment. The individual's potential is measured against the behavioural requirements of another possible assignment.

Furthermore, in relation to performance feedback, there are fundamental rules. These are rules that both the supervisor and appraisee need to be mindful about when going through the process of performance process. Herdoldt & Marius (2000: 10) elucidate the fundamental rules of feedback to be the following:

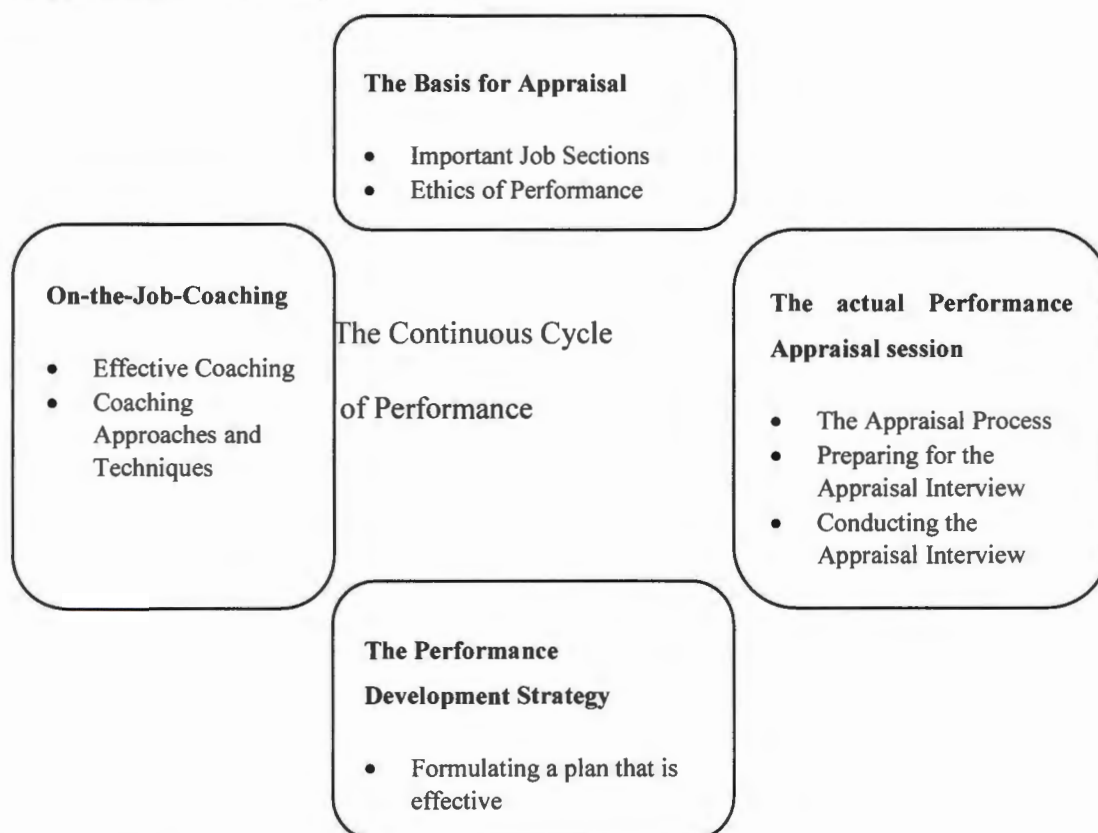
- Feedback should always be constructive- even negative feedback is given in an effort to align personal and organisational expectations.
- It should consist of concrete evidence (critical incidents), which should be given specifically and clearly. This avoids any misunderstanding and therefore, helps people to focus.
- Feedback is part of the work of a leader and should not only be given once a year. Informally, it should be given whenever required and formally at least once a quarter.
- It is never only the manager talking, but a two-way conversation. It is not a forum for giving orders, but an opportunity to discuss the effect of performance and how this effect should be enhanced.
- It should always be honest and open. Neither party should keep silent about facts or avoid sensitive issues. Trust between them is of the utmost importance.

The feedback given to the appraisee at a performance appraisal interview must be in a positive manner on every aspect being measured in terms of the appraisal. The applied approach needs to be constructive, offering ideas on how to deal with problems, rather than being mostly about

reprimanding an employee. The steps to be taken to correct areas with problems and the timeframes in which such steps need to be implemented, must be realistic and achievable, while being mutually agreed on by the appraiser and appraisee (Performance Management System Implantation Policy, 2008:31).

## 2.14 IMPROVEMENT PLAN

### 2.14.1 The performance improvement plan



**Figure 2.2: The performance improvement plan**

Source: Kirkpatrick (2006: 66)

Kirkpatrick (2006: 66) defines an improvement plan as a detailed action plan that employees need to undertake to ensure that they improve their performance in an organisation. It must define what will need to be completed, when, and the period set for the improvement.

### **2.14.2 Ingredients of an improvement plan**

Kirkpatrick (2006: 67) states that a performance improvement plan must meet the following three indicators:

- A plan must be realistic:

The essential details of a plan must be closely related to the particular job performance that needs to be improved.

- A plan must be time orientated:

Deadline with specific dates should be set and they should be realistic and mutually decided upon.

- A plan must be precise:

It must distinctly outline the measures that will be taken to improve performance.

### **2.14.3 Managing poor performance**

Poor performance can leave supervisors frustrated and not knowing how to deal with poor performing employees. Tovey, Uren, and Sheldon (2015:273) stress that managers should not hesitate to involve staff in the unsatisfactory performance procedure if circumstances indicate the need to do so. Commencement of such a procedure does not mean that the supervisor would terminate a staff member. Supervisors, through certain measures explained that the Public Service Commission (2007:10), can effectively manage performance. These measures are outlined below.

Managing poor performance requires supervisors to put in an effort to ensure that employees improve in their job. There are a number of factors to be considered during this process. The Information Commissioners Office booklet (2006: 5) affirms this by explaining that:

“Training, supervision and encouragement are essential factors if employees are to achieve a satisfactory level of performance. Managers should ensure that they discuss performance regularly with employees, either informally or formally, ensuring that issues are raised at the earliest opportunity. Inadequate performance, particularly during the first stages of a new job, should be identified as soon as possible so that appropriate action can be taken.”

## **2.15 REWARDING GOOD PERFORMANCE**

Podmoroff (2016:20) states that motivation within the workplace is bred and cultivated, and it includes all individuals and all aspects of a work setting. The benefits of a highly motivated labour force are very evident. Transformation will not occur instantly, but when it does, these are the results that can be expected, namely;

- renewed motivation, morale, and meaning;
- improved personal/professional performance;
- enhanced teamwork, trust, and fun;
- increased energy and resilience from stress;
- enriched quality of work/life balance;
- heightened workplace creativity and humour; and
- enlightened and inspired organisation.

According to Singh (2007:149), there are several types of performance-linked rewards schemes. Generally, these are designed to share with or distribute among employees as individuals, groups or collectively, productivity gains, profit improvement, or the financial gains of the organisational performance. Such schemes fall into the following broad categories.

Main types of contingency pay include;

1. merit pay or individual performance-related pay;
2. skill-based pay;
3. shop floor incentive and bonus schemes;
4. team rewards;
5. team/ organisation based schemes;
6. annual bonus;
7. gain sharing;

8. goal sharing;
9. profit sharing;
10. economic value added/ market value added; and
11. other cash payments.

Hartman (1994: 5) states that incentives can be a one-time payment, or recognition of efforts shown by an employee in the work they do. This is one of the features that distinguish incentives from other forms of compensation; the incentive must be earned anew in each incentive cycle. Incentives such as merit pay increases, salary increments earned on performance and added to the permanent base salary are incentive programmes.

Section 73 of the Public Service Regulation Gazette (2001) states that:

- 1) Each executive authority shall establish a performance incentive scheme to reward employees or any category of employee within the limits determined by the minister.
- 2) A head of department shall establish a written departmental performance incentive scheme—
  - (a) Determining the nature, rules and control measures of the scheme;
  - (b) Communicating the nature and rules of the performance incentive scheme to all employees;
  - (c) Ensuring that employees who implement the quality and quantity control measures of the scheme are not entrusted with the implementation of that scheme in relation to themselves; and
  - (d) Including provisions for the introduction of non-financial incentives, if deemed appropriate.

## **2.15 USES OF PERFORMANCE APPRAISAL**

Ross (1999: 1) states that total quality management is the set of management processes and systems that create delight in customers through empowered employees, leading to higher revenue and lower cost. Total Quality Management is the integration of all functions and processes within an organisation in order to achieve a continuous improvement of the quality of goods and services. The goal is customer satisfaction.

“Total quality management and incessant improvements are extremely prevailing measurement as well as evaluation strategy. Successful use is anticipated on association, relation, and duplication” (Godfey, 1999: 14).

Smith (2009: 329) asserts that:

“Alignment can be referred to as the integration of stakeholder anticipations into the work done within the organisation. This entails that stakeholder anticipations are turned into set goals, and the strategy or approach that give clear direction how set goals can be attained. Goals are utilised towards the determination of what is needed to be measured to demonstration that set procedures perform appropriately. During the evaluation process, set goals are closely studied to enable the organisation to determine if the performance of employees meets set objectives. Linkage is the understandable connection that exists in each quality for aims, plans, goals, indicators for performance, as well as appraisal. Duplication is the capability of a process that might be repeated. Appraisal determines duplication through measuring regular performance over a period of time.”

## 2.16 CONCLUSION

It is clear through the work of numerous scholars that performance appraisal is a managerial function. In the event that management does not claim the framework, clearly the system will crumble. Workers could without too much stretch, control the framework. Performance appraisal must be dealt with as progressive or consistent, as opposed to dealing with it only during submission. Management ought to encourage their subordinates through preparation. They ought to consistently help them all together so that there are no performance reports that are outstanding. Performance appraisal is very important for managers to effectively realise its organisational objectives and those of employees. In the next chapter, the researcher will discuss the legislative framework for performance appraisal.

## **CHAPTER 3: LEGISLATIVE FRAMEWORK AND POLICIES GOVERNING PERFORMANCE APPRAISAL**

### **3.1 INTRODUCTION**

The previous chapter of this study gave an overview of the most important aspects of performance appraisal. In this chapter, the constitution seeks to put emphasis on Acts of Parliament and policies that govern the public sector and how they should operate. "The public sector is mainly responsible for designing and implementing policies and relevant programmes that target the fulfilment of the government's extensive social and economic development goals." (Schacter 2000: 45) cited in (Chen, 2011:61). The legislative framework of performance appraisal through PMDS is authorised by the following statutory documentations:

### **3.2 THE CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA, 108 OF 1996**

The Constitution serves as the highest law of the land and governs every citizen of the country, including public servants. The constitution further defines the power that must be assigned to all the institutions of government and public servants working in those particular institutions. The Constitution not only provides for a number of issues, which are important to the public personnel manager. Aspects include issues relating to equity, labour relations, freedom of association, and just administration action), but also makes provision for norms and principles for professional ethical conduct by public employees, as well as for the creation of the public service and the Public Service Commission (Cheminais, Van der Waldt, Bayat and Fox, 1998: 99).

Section 195 (1) of the Constitution of the Republic of South Africa 108 of 1996 stipulates that Public Administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:

- (a) A high standard of professional ethics must be promoted and maintained.
- (b) Efficient, economic and effective use of resources must be promoted.
- (h) Good human resource management, career development practices and the maximisation of human potential must be cultivated.

### **3.3 PUBLIC SERVICE COMMISSION**

The Public Service Commission, in relation to Section 196 of the Constitution, is said to be an independent institution which must be impartial, and must exercise its powers and perform its functions without fear, favour or prejudice in the interest of the maintenance of effective and efficient public administration and a high standard of professional ethics in the public service.

Section 196 (4) stipulates that the powers of the Commission are:

(b) to investigate, monitor and evaluate the organisation and administration, and the personnel practices, of the public service and

(c) to propose measures to ensure effective and efficient performance within the public service.

### **3.4 THE PUBLIC SERVICE ACT 103 OF 1994**

Section 3(5) (c) of this particular Act stipulates that performance appraisals need be carried out in all departments involved in the process of service delivery. Furthermore, Section 7 (3) (b) precisely specifies that a head of any particular public service institution will be held accountable for the effective management and administration of his or her institution/department. Both management and the administration in the public service describes all activities done in a public institution, which explains all activities and functions of every public servant in performance appraisal.

### **3.5 PUBLIC FINANCE MANAGEMENT ACT 1 OF 1999**

This Act is put in place to make sure that funds allocated for public services to be delivered are used accordingly. This means doing away with fruitless and wasteful expenditure. Section 1 of the Act, under 'definitions' states that fruitless and wasteful expenditure is "expenditure which was made in vain and would have been circumvented had sensible care been exercised."

### **3.6 PUBLIC SERVICE REGULATIONS, 2001**

The new Public Service Regulations entail an integrated framework designed to promote effective performance. This framework allows departments to find creative, more efficient and effective ways of achieving policy goals. It facilitates the best route and enables departments to use learning effectively to change strategies (Van der Waladt, 2004: 89).

Chapter 4, part 1 of this Act emphasises job evaluation and job grading systems, and states that:

41 (1) The Minister shall determine—

(a) a job evaluation and job grading system or systems that shall be utilised in the public service to ensure work of equal value is remunerated equally; and

(b) a range of job weights derived from the system or systems for each salary level in a salary scale.

(2) The Minister may—

(a) Issue directives on the application of a job evaluation or job grading system or systems;

(b) Review the application of job evaluation in the public service;

(c) Determine a job or category of jobs that an executive authority must evaluate; and

(d) Issue directives that direct the evaluation and grading of any job or category of jobs.

### **3.7 WHITE PAPER ON HUMAN RESOURCE MANAGEMENT IN THE PUBLIC SERVICE**

Chapter 4, heading 4.2 of the White Paper on Human Resource Management in the Public Service stipulates the following:

Human resource planning is essential in order to make certain that an organisation's human resources are more than capable of meeting its operational objectives. Human resource planning consists of three main steps, which are:

- An assessment of the human resources which will be required to deliver the operational objectives in the organisation's strategic plan.
- An assessment of the organisation's existing human resource capacity.
- A plan for how the gap between existing human resource capacity and the future human resource requirement will be filled, within the available financial resources.

Chapter 5 of the Paper puts importance on the fact that the success of the public service in delivering its operational and developmental goals depends primarily on the efficiency and

effectiveness with which employees carry out their duties. Managing performance is therefore a key human resource management tool to ensure that:

- Employees know what is expected of them.
- Managers know whether the employee's performance is delivering the required objectives.
- Poor performance is identified and improved.
- Good performance is recognised and rewarded.

### **3.8 WHITE PAPER ON TRANSFORMING PUBLIC SECTOR DELIVERY: BATHO PELE WHITE PAPER, 1997**

Batho Pele is a contemplated procedure to instil a culture of responsibility and caring by public servants. Through this procedure, public servants must move toward becoming better at administration of service to the citizens of the country, strive to reach service excellence at all times and focus on continuous service delivery enhancement.

Van der Waldt (2004: 89) asserts that Batho Pele is a framework with two main primary functions which are:

- (i) Delivery of services to citizens who are treated as customers or clients, where it will be possible for citizens to hold individual public officials accountable for the delivery and the quality of public services.
- (ii) Channelling the energy and commitment of public officials to introduce more 'customer focused' ways of executing their functions and doing their work.

Van der Waldt (2004: 89) further elaborates that the White Paper is anchored by the eight Batho Pele principles namely:

- Consultation: Citizens should be consulted about levels of quality and, as far as possible, given a choice about the services which are provided.
- Service standards: Citizens must be informed about the level and quality of services they can expect.
- Access: All citizens should have equal access to the services to which they are entitled.

- Courtesy: Citizens should be treated with courtesy and consideration.
- Information: Citizens must receive full and accurate information about their services.
- Openness and transparency: Citizens should be informed about the key aspects of services delivery which affect them, e.g. Budget decisions and service plans.
- Redress: Citizens are entitled to an apology, explanation and remedial action if the promised standard of service is not delivered
- Value for money: Public services should be provided economically and efficiently

### **3.9 PROVINCIAL PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM (PMDS) POLICY**

The Provincial PMDS policy is put in place with the Department to ensure that performance management is carried out. “Performance Management is the process used to measure the required performance of an employee to meet strategic goals, convert them into team and individual goals, and manage the strategic goals through rewards and recognition. The main objective is to ensure achievement, relevance and consistency with the overall strategy and required change action.” Provincial PMDS Policy (2018/19: 2).

The provincial PMDS policy under heading 13.1.2 stipulates the following to be the goals relating to the policy:

- (a) Establish an objective system through which performance can be managed;
- (b) Guide employees to assist them to be able to link strategic focus areas of the Provincial Administration with their Departmental activities;
- (d) Involve employees in setting standards and empowering them on how to achieve them;
- (e) Establish which skills are necessary and arrange appropriate intervention;
- (f) Ensure regular and consistent review of employees’ performance as well as assessment of employee on an annual basis, and
- (h) Ensure rewarding of performance or incentives where it is due

The policy under section 13.3.5, further puts emphasises on Annual Performance Assessment, and stipulates that:

(a) Formal performance assessment is conducted to identify the overall level of performance of employees during a particular performance cycle. This is the ultimate determination of whether the performance of employees has been up to the agreed upon or set standards.

(b) The annual assessment shall reflect the performance of the employee for the entire performance cycle (April/March). The annual assessment must be conducted even if the employee was employed for less than 12 months in that cycle.

### **3.10 CONCLUSION**

In conclusion, the above-mentioned authoritative sources of law are there to guide public servants to ensure that relevant service to the public takes place, and in ensuring that they meet set key performance areas. Without these regulations mentioned in this chapter, public servants would not be able to make any sense of how they are supposed to operate. In the next chapter, the research method and design will be discussed.

## **CHAPTER 4: RESEARCH METHOD AND DESIGN**

### **4.1 INTRODUCTION**

The legal framework governing performance appraisal in the public sector was briefly discussed in the previous chapter. This chapter encompasses the research design and methodology that is used in the process of researching the focus area in this study. In this section of the paper, the researcher begins by exploring the research design, and further gives a clear understanding of the quantitative examination method. Furthermore, this chapter seeks to discuss the data collection methods, methods employed to analyse data collected, sampling method as well as the research area thereof. Challenges faced during this study are also discussed.

### **4.2 RESEARCH METHODOLOGY AND DESIGN**

“According to Barnyard and Hanekom (1997:28), research methodology or methods of collecting data necessitates a reflection on the planning, structuring and execution of the research in order to comply with demands of truth, objectivity and validity. Hence, research methodology focuses on the process of research and the decision which the writer has to take to execute the research project” (Tlowana 2009:39). A research methodology can thus be described as a strategy that a researcher must carry out when they wish to attain an objective of the study they are undertaking. A research design is a map that which a researcher uses to reach to the final destination of the study undertaken.

As stated in chapter one, a quantitative approach is used to conduct this study. Structured questionnaires were distributed to the sample participants. Grant, Reershemius, Pollard, Haynes, and Plappert (2017) are of the view that:

“Designing research that concerns the use of qualitative research methods and statistics involves collecting data that can be measured in a numerical way. In order for this to happen, the data set collected needs to be sufficiently large so that it can be quantified and analysed by drawing upon a range of statistical methods. Further, quantitative research is essentially in collecting numerical data to explain a particular phenomenon.”

Quantitative research seeks to discover new knowledge by retaining complexities as they exist in natural settings (O'Dwyer & Bernauer, 2013:24).

### **4.3 POPULATION**

Johnson (2014: 299) defines population as the total set of items or people that the researcher is interested in studying. Population can thus be regarded as a group of possible participants the researcher wishes to collect data of the study. The population of this study consists of 493 employees employed in the North West Department of Finance, Mahikeng.

### **4.4 SAMPLING METHOD**

Sampling is the act, process and technique of selecting a representative part of a population for the purpose of determining parameters or characteristics of the whole population (Coldwell & Herbst, 2004: 74). According to Coldwell & Herbst (2004: 74), reasons for sampling include:

- economy;
- timeline;
- the large size of many populations;
- the inaccessibility of some of a particular population; and
- accuracy/ perception

“A five-point scale is used to determine the level of acceptance of the processes and their perceived effectiveness in establishing the performance of staff by middle managers and managers” (Towana, 2009: 13). This method was employed in this study.

For the purpose of this investigation, a random sampling method was employed in this study. Johnson (2014: 148) states that random samples (also called probability samples) mean that every unit in the population has an equal chance to be selected.

In sample drawn from the North West Department of Finance, there were a total of 598 employees at the time when all questionnaires were received, including 105 interns. A sample of 200 participants was selected for this particular study. The population for this study comprised employees ranging from senior management, middle management to subordinate staff, excluding interns as mentioned in chapter one of the study. Not all questionnaires that were dispatched were returned. Questionnaires that were returned to the researcher were fully completed. Identities of participants in this study remain anonymous.

#### **4.5 AREAS OF STUDY**

The area of study is the North West Department of Finance, situated in Mahikeng, which is under the jurisdiction of the Mahikeng Local Municipality. The Integrated Development Plan (2018:7) states that the area is known as the Mahikeng Local Municipality (NW 383) and is situated in the North West Province, 20 kilometres south of the Botswana Border. It is the Capital City of the North West Province. The municipality used to be known as the City Council of Mafikeng. The municipality is a considerably large local municipality compared to the other four local municipalities (Category B Municipalities) constituting Ngaka Modiri Molema District Municipality established in terms of the Municipal Demarcation Act (Act No. 27 of 1998). Those neighbouring local municipalities which border the Ngaka Modiri-Molema District Municipality are Ramotshere Moiloa Local Municipality, Tswaing Local Municipality, Ditsobotla Local Municipality and Ratlou Local Municipality.

The IDP (2018:7) further states that the total area of Mahikeng Local Municipality is approximately 3703 km<sup>2</sup>. It is divided into 31 wards consisting of 102 villages and suburbs. According to recently released Census results from Statistics South Africa (Stats SA, 2011), the population of the municipality is estimated at 305 291 people. Approximately 75% of the area is rural.

#### **4.6 DATA COLLECTION METHOD**

In this study, the process of data collection and gathering was primarily executed through distributing questionnaires to the sample, and document examination.

##### **4.6.1 Structured questionnaires**

Brace (2008:4) emphasises that:

“A questionnaire is a medium of communication between the author and the subject, albeit sometimes administered on the author’s behalf by an interviewer. In the questionnaire, the author articulates the questions to which he or she wants to know the answers and, through the questionnaire; the subjects’ answers are conveyed back to the author”.

A questionnaire can therefore be described as be a document which serves as a medium of conversation between two people, in this case being the researcher and a participant in the study, although they are remote from each other and sometimes never communicate. Brace (2008: 4) further affirms that in all cases, the central element of any questionnaire is to offer a consistent meeting over matters. The objective of this is that respondents are offered a clear conversation that is appropriate to them, in a manner that, when particular questions are presented it is frequently in the same manner.

Structured questionnaires can use Likert rating scales. Remenyi, Onofrei and English(2011, 7) emphasise that when completing a Likert scale questionnaire, participants answer in the level of agreement with a statement. Each question is referred to as a Likert item, although it usually appears to be a scale itself, and a Likert scale is the sum of a number of Likert items. Likert items may be graduated using 5, 7 or 9 positions of difference, and it is common to have an odd number of positions. The mid-position is regarded as neither supporting nor disagreeing with the proposition. Hernon and Whitman (2001: 129) further explain that a Likert scale shows a differentiation among respondents who have a variety of opinions about something.

#### **4.6.2 Documentation**

Literature on performance appraisal was consulted, as this gave a broader understanding of the subject being researched. Documentation such as books, journals, Acts of Parliament and policies were consulted.

#### **4.7 METHOD OF DATA ANALYSIS**

All techniques of quantitative data analysis from the most basic methods to the most advanced-are concerned with capturing variation and with helping us to understand the variation (Hardy and Bryman, 2009:18). In this study, the data collected was in the form of questionnaires which had a five-point scale set to be able to determine the actual level of response of the participants. The questionnaires were checked to eliminate spoiled ones and analyse those that were completed correctly. The reading of these questionnaires was done to enable the researcher to come up with the summary of all respondents' major points in relation to the study undertaken. The tool used to analyse the data collected through questionnaires was a Microsoft Spread-sheet programme, and presented using tables and pie charts.

#### **4.8 RESEARCH CHALLENGES AND METHODS USED TO OVERCOME CHALLENGES**

The present research investigation was characterised by numerous challenges, namely not getting the questionnaires from respondents on time, or not getting them at all. Respondents would give the researcher the run around or not answer calls when they had agreed to give the researcher the questionnaires on a given day. Another problem encountered was those questionnaires which were returned and not fully completed.

Respondents did not seem eager at first to fill in the questionnaire as they thought that they had to reveal their identity. Collecting information from the Department was also a problem as one supervisor was intimidating and did not seem eager to provide the researcher with information, claiming that they were too busy. There were respondents who did not seem interested in taking part in this study. The participants thought the researcher was not doing the research for academic reasons, or had not been given permission to undertake the research in the Department. Questionnaires that were not returned on time delayed the study; some were completed in the presence of the researcher. This affected the study in a negative way, in that the researcher was not convinced of the accuracy of the responses.

The researcher assured the respondents that their identities would not be revealed and that the research paper would be provided to the Department. The researcher exercised patience at all times to ensure that the respondents were accommodated and did not feel hostile or too scared to fill the questionnaire given to them. Those respondents who were unsure of the study were provided with the permission letter given to the researcher to conduct the study in the Department.

#### **4.9 CONCLUSION**

To sum up the chapter, it can be concluded that this used quantitative method approach where a quantitative research methodology was employed. The method of investigation employed in this paper encompasses questionnaires that were hand out to employees who work in the Department of Finance. Information gathering is important, as well receiving a questionnaire that is fully completed. Employees become very reluctant and uneasy because they assumed that their identities would be revealed in the study. The researcher had to be very polite and reassure the participants so as to be able to get accurate information for the study being undertaken. In this

chapter, the researcher explained the research methodology employed and techniques used in this study, ethical considerations were explained as well. It also identified challenges encountered during the study and methods used to overcome the challenges. Population and sample were also covered in this particular chapter.

## **CHAPTER 5: PRESENTATION AND ANALYSIS OF DATA**

### **5.1 INTRODUCTION**

In the previous chapter the method used for data collection for this study was explained and the methods employed. The central research question will be analysed based on the data collected using the methods described in the previous chapter.

Data collected through a structured questionnaire that encompassed one open-ended question is presented in this chapter. The questionnaire utilised a Likert scale. The researcher distributed 200 questionnaires to the employees in the Department of Finance in Mahikeng. Subsequently, only 164 of the 200 questionnaires were returned. The data collected through questionnaires will be analysed to ensure validity and reliability. This chapter is divided into three (3) sections, namely: Section A represents the Biographical information of the participants; Section B focuses the on performance appraisal technique used in the Department; lastly, Section C consists of one open-ended question that enabled participants to give their own responses. The results of 164 questionnaires that were received from participants are therefore presented in this chapter.

### **5.2 SECTION A: BIOGRAPHICAL DATA**

The table below presents the biographical details of respondents.

**Table 5.2.1 Gender**

Gender	Frequency	Percentage
Female	85	52
Male	79	48
Total	164	100

Table 5.2.1 above denotes gender spreading and correspondingly specifies that from the questionnaires distributed, the sample comprises more females (52%) in the districts than males, who are 48% of the sample. This clearly indicated that there are more females employed in the Department of Finance in Mafikeng, which signifies that the Department implements the Employment Equity Act by employing females in the Department to do away with past

imbalances. An additional reason might be that a higher number of female employees were eager to take part in the research process than male employees.

Details on the respondents' race are reflected in the following table.

**Table 5.2.2 Race**

Race	Frequency	Percentage
Black	153	93
Coloured	4	2
Indian	1	0.6
White	6	4
Other	0	0

Table 5.2.2 shows the distribution of race of the sample. Most of the people who are employed by the Department according to the sample belong to the black race 93%, that is over half of the sample. There could be two reasons for this; one could be that the employment of black people is more because of the high number of black residents in the Mahikeng area. The other reason could be that the Department is hiring more black people to do away with the past imbalances. The sample collected shows that there was only 0.6% Indian employees represented in the sample and only 2% coloured and 4% of white employees.

Ages of respondents are illustrated in the table below.

**Table 5.2.3 Age**

Age	Frequency	Percentage
20-29	36	22
30-39	61	37
40-49	46	28
50-59	12	7
60-69	9	6

As illustrated in figure 5.2.3 above, 22% of the sample are between the ages of 20 and 29. The reason for this could be that the Department is hiring graduates who might have done their internship within the Department or have gained experience by working in the public sector. The majority of the sample are between the ages of 30-39, which is 37% of the sample. The remainder are between the ages of 40-49 (28%), 50-59 (7%) and 60-69 (6%) respectively.

Educational qualifications of respondents are shown in the table below.

**Table 5.2.4 Highest educational qualification**

Highest Educational Qualification	Frequency	Percentage
Grade 12	3	2
Diploma	41	25
Degree	52	32
Honours	48	29
Master's	20	12
Total	164	100

Table 5.2.4 above demonstrates that the larger portion of the sample, 32%, have obtained their Senior Degree, while 29% obtained their Honours and 12% obtained their Master's. This indicates that of the sample drawn, 41% have completed their postgraduate studies.

The table below shows respondents' salary levels.

**Table 5.2.5 Salary level**

Salary level	Frequency	Percentage
4	3	2
5	11	7
6	9	5
7	65	40
8	8	4
9	19	12
10	28	17
11	21	13
Total	164	100

The sample drawn above illustrated in figure 5.2.5 indicates that the majority (40%) of the respondents who participated in this study are appointed at level 7. This shows that the majority of participants are placed at entry level.

The respondents' years of service in the Department follow below.

**Table 5.2.6 Years of service in the Department**

Year in service in the Department	Frequency	Percentage
1-5	46	28
6-10	39	24
11-15	34	21
16 and above	45	27
Total	164	100

Figure 5.2.6 shows the number of years participants have served in the Department of Finance, Mahikeng. The figure above shows that of the respondents, there are 27% employees who are experienced in the posts they have occupied and have knowledge about the Department. The 45 participants who have served for over 16 years in the Department make this evident.

### **5.3 SECTION B**

Section B of the questionnaire operated in four (4) components, namely: the current performance appraisal technique, employee performance, performance appraisal feedback and performance planning. This section established whether employees understood the current performance appraisal technique employed in the Department, are motivated by their supervisors, and receive beneficial supervisorial feedback to develop themselves. This section further established whether employees are being involved in the planning process.

### 5.3.1 Current performance appraisal technique employed

Figure 5.3.1.1 depicts responses on whether respondents understand the current performance appraisal technique used in the Department

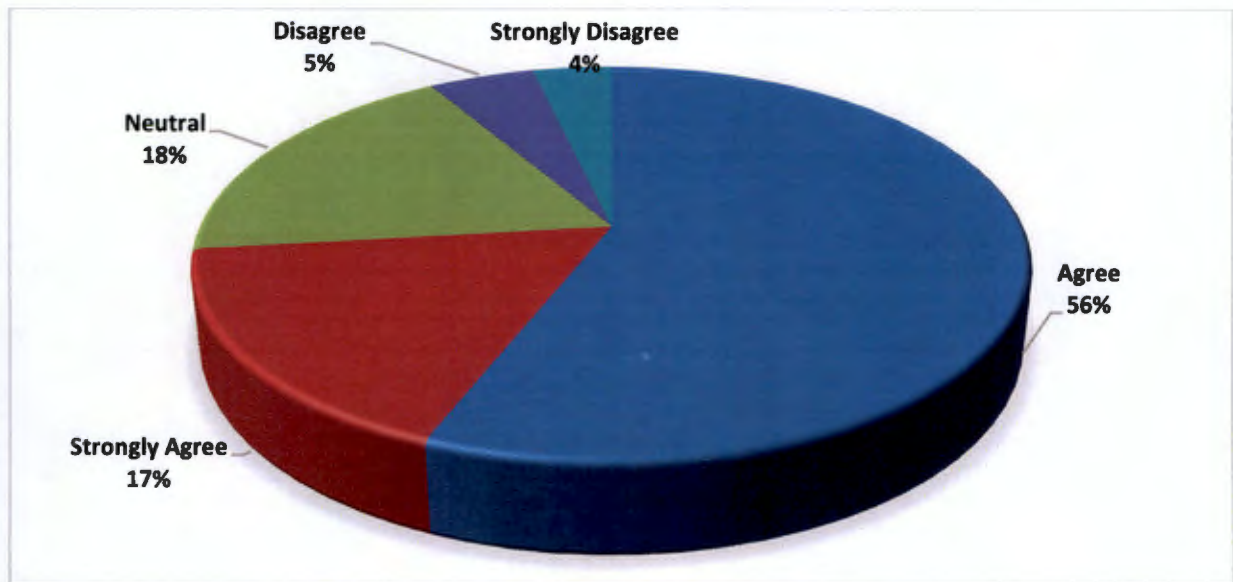


Figure 5.3.1.1 above illustrates that over half of the participants (56%) agree that they understand the current performance appraisal technique employed in the Department. The figure above also indicates that 18% are neutral, which can be an indication that employees are not fully knowledgeable about the performance appraisal technique employed in the Department.

Figure 5.3.1.2 below comprises responses to the question as to whether the supervisor explained the current performance appraisal technique to subordinates.

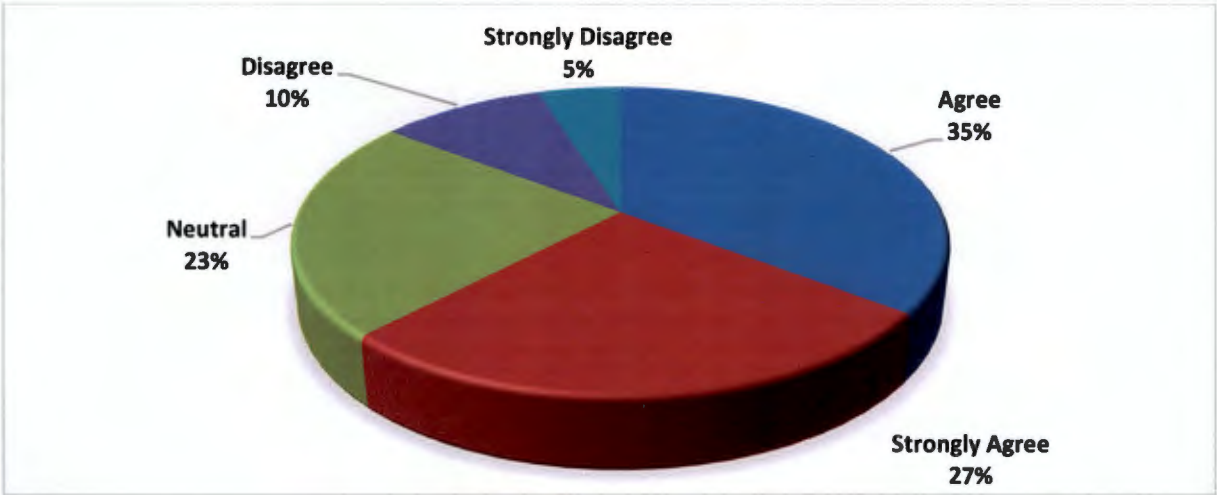


Figure 5.3.1.2 illustrates that 35% of the participants agree that their supervisors have explained how the current performance appraisal technique works. This means that these employees fully comprehend the technique and how it operates. 15% of the sample do not (5% disagree and 10% strongly disagree).

Figure 5.3.1.3 below depicts responses on whether the current performance appraisal technique allows employees to give inputs about the perception of their work

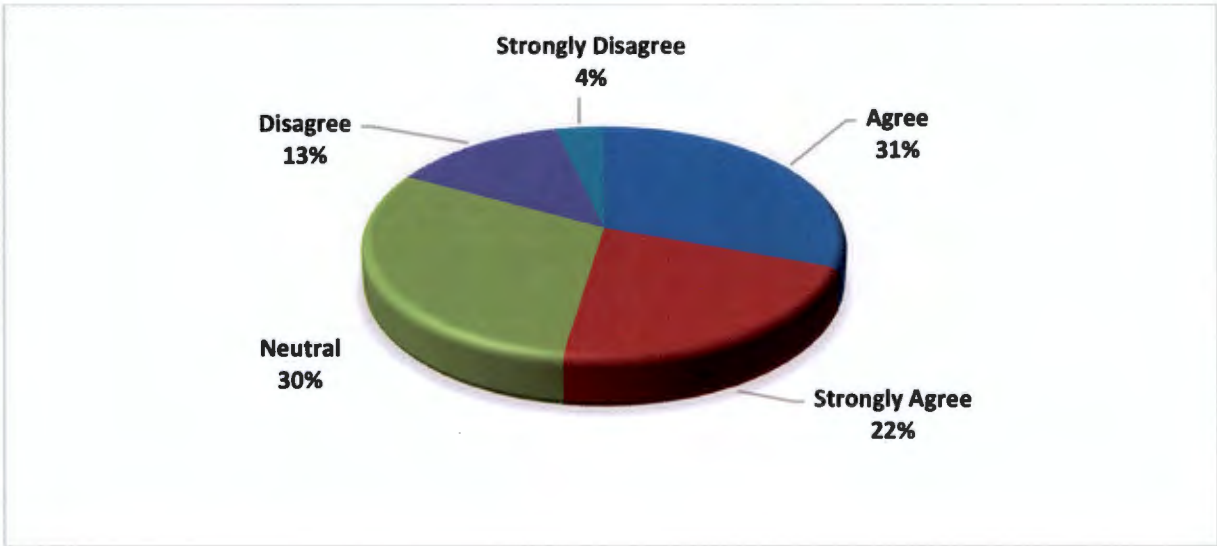
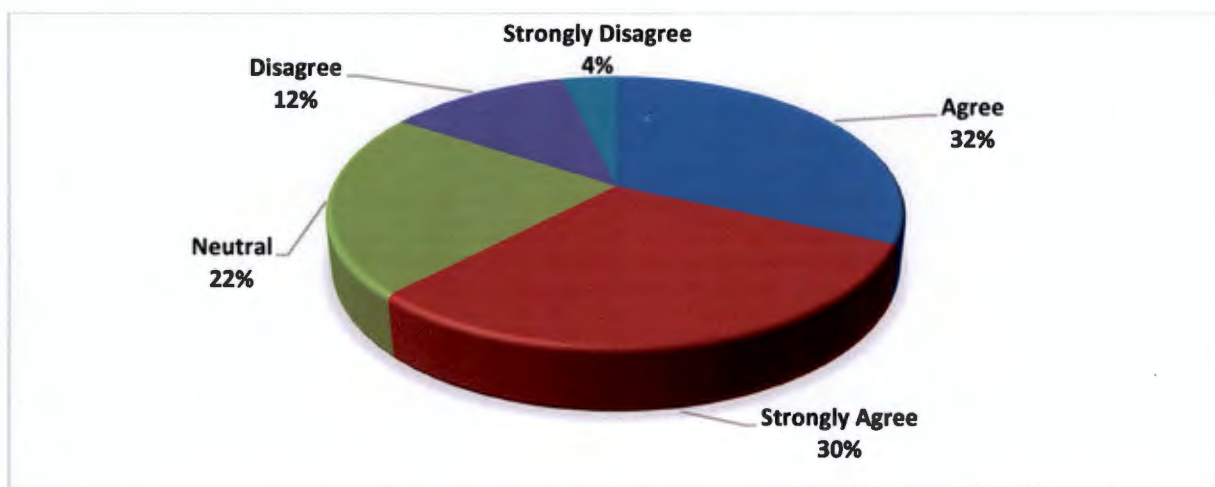


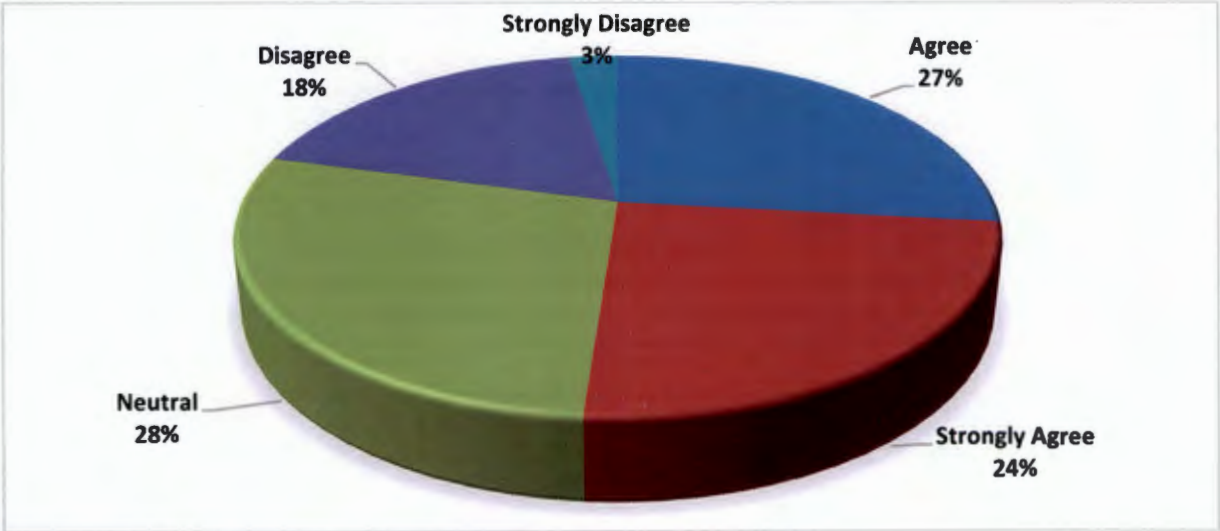
Figure 5.3.1.3 illustrates that of the sample drawn, the larger portion, which is 31% agree that the current performance appraisal technique employed in the Department allows employees to contribute any inputs relating to how they perceive their work. A smaller portion of the sample 4%, strongly disagree. The remaining participants are, neutral 30%, 13% who disagree and 22% who strongly agree.

Responses on whether participants are encouraged to attend performance appraisal training are depicted in figure 5.3.1.4 below.



Of the sample who took part in the study, the majority, 32%, agree that they are encouraged to attend performance appraisal training by the Department, and 30% strongly agree, as illustrated in figure 5.3.1.4 above. 22% are neutral, leaving only 12% who disagree and 4% who strongly disagree.

Figure 5.3.1.5 below comprises responses to the question whether the current performance appraisal promotes good communication between subordinate and supervisor.



As illustrated in figure 5.3.1.5 above, 24% of participants in the study strongly agree that the current performance appraisal technique employed in the Department allows good communication between them and their supervisor. A small fraction (3%) strongly disagrees. From the sample drawn, 18% disagree, 27% agree, while the largest portion (28%) is neutral.

**5.3.2Employee performance**

Responses on whether participants' performance is monitored with regards to the performance appraisal technique employed in the Department is illustrated in figure 5.3.2.1 below.

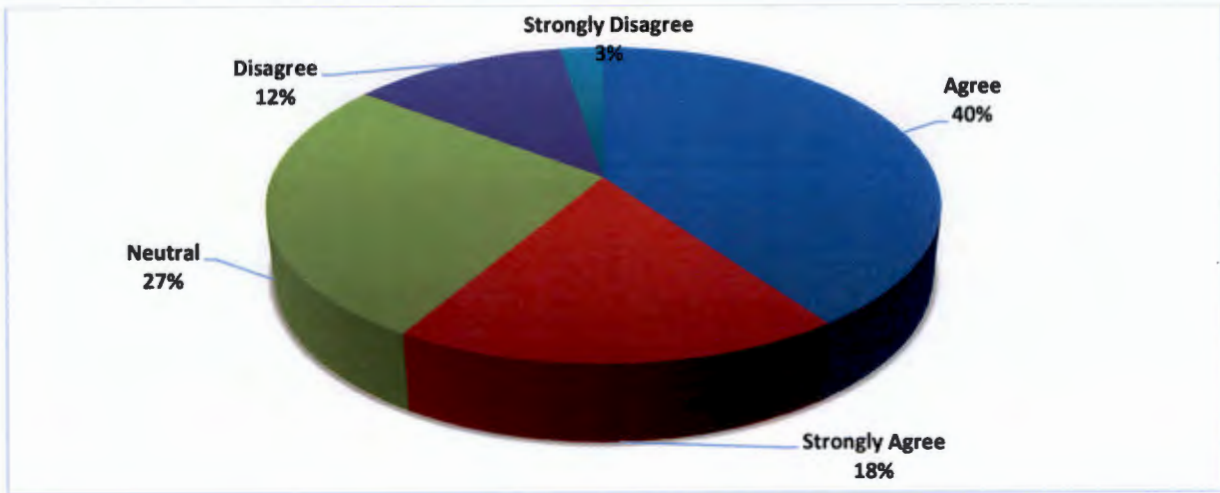


Figure 5.3.2.1 indicates that of the sample drawn, the largest portion (40%) agree that their performance is monitored with regards to the performance appraisal technique employed in the Department. A total of 12% disagree; this could be because they do not have performance appraisal sessions with their supervisors regularly. The remaining respondents are spread among the 18% who strongly agree, 27% neutral and 3% strongly disagree.

The responses on whether participants are allowed to give any input in the performance planning and appraisal process are illustrated in figure 5.3.2.2 below.

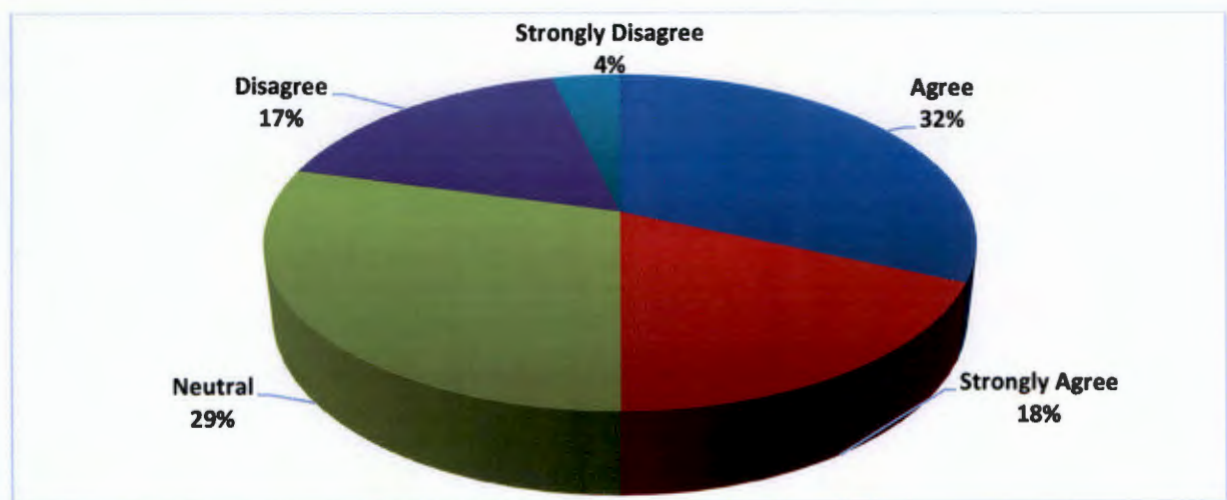


Figure 5.3.2.2 illustrates the number of participants who are allowed to give input in the performance planning and appraisal process. Of the sample drawn, 18% strongly agree, while 32% agree. This sample also encompasses a small portion of 4% of the population who strongly disagree, 29% were neutral and 17% disagreed.

Figure 5.3.2.3 below depicts responses of participants on whether there are incentives put in place to encourage better performance.

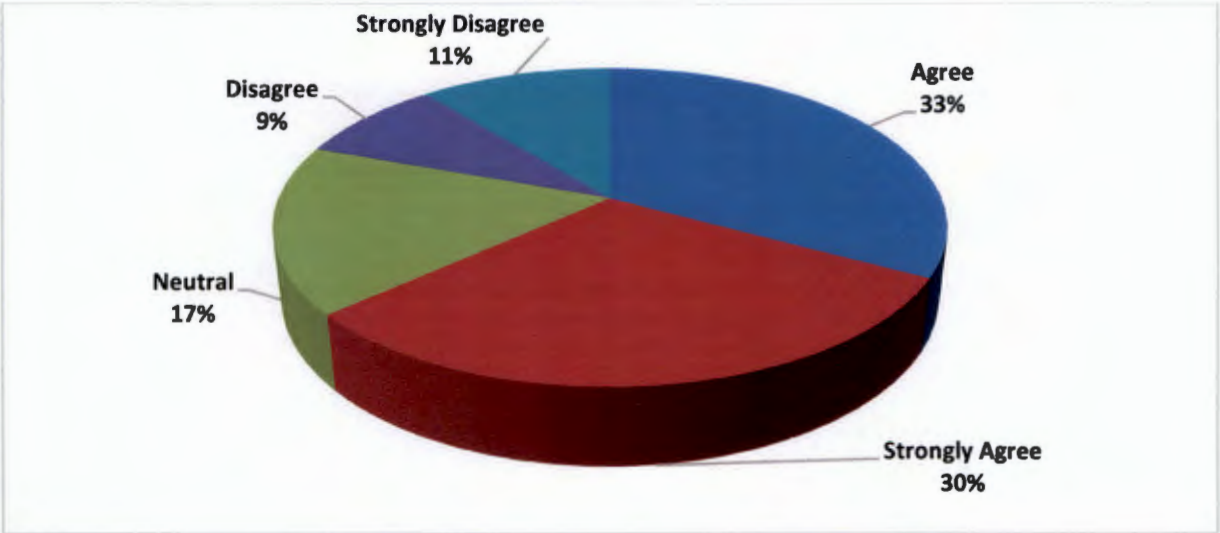


Figure 5.3.2.3 above demonstrates that the majority of the respondents (33%) agreed. Employees who agreed were followed by 30% who strongly agreed and 17% who were neutral. The remaining respondents were spread between 9% disagree and 11% who strongly disagreed.

Figure 5.3.2.4 encompasses responses on whether participants are motivated by their supervisor to perform better in their job.

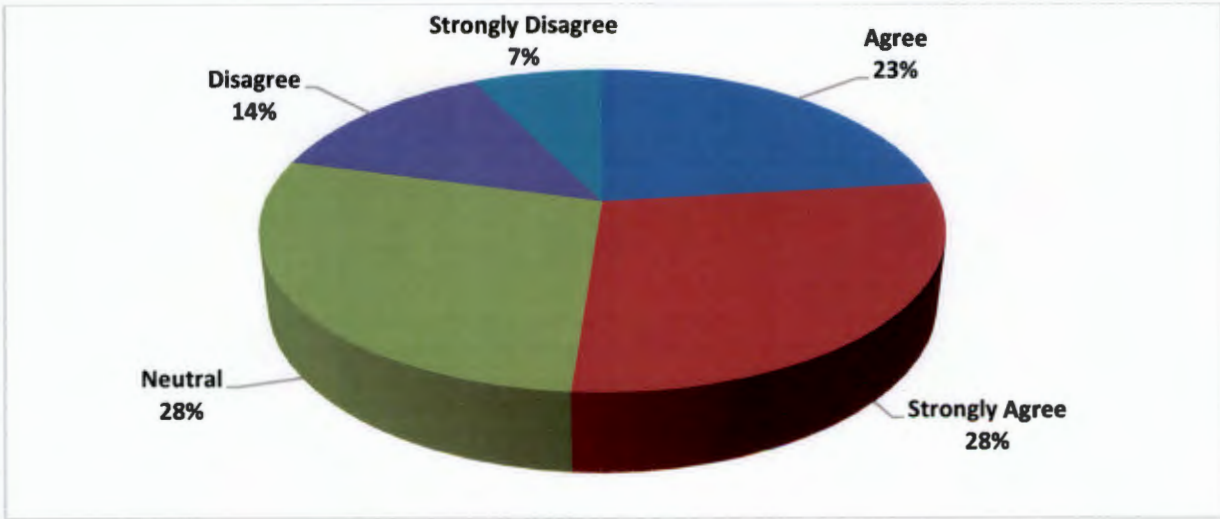
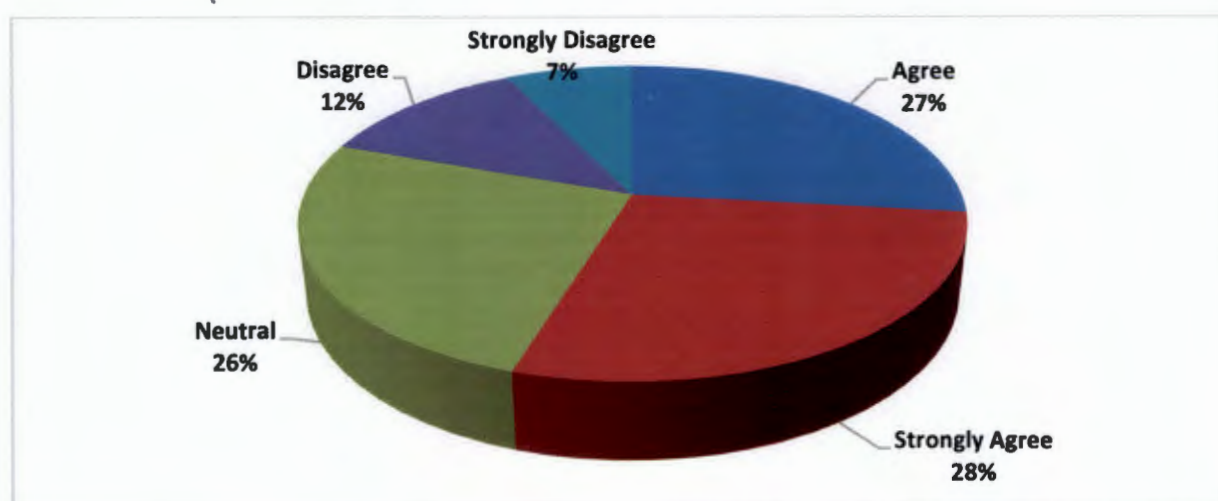


Figure 5.3.2.4 illustrates that of the sample drawn, 28% were neutral and 28% strongly agreed were evenly distributed. A small fraction (7%) strongly disagreed that they are not given any motivation by their supervisors, followed by 14% who disagreed. The rest of the sample, which constituted 23%, agreed.

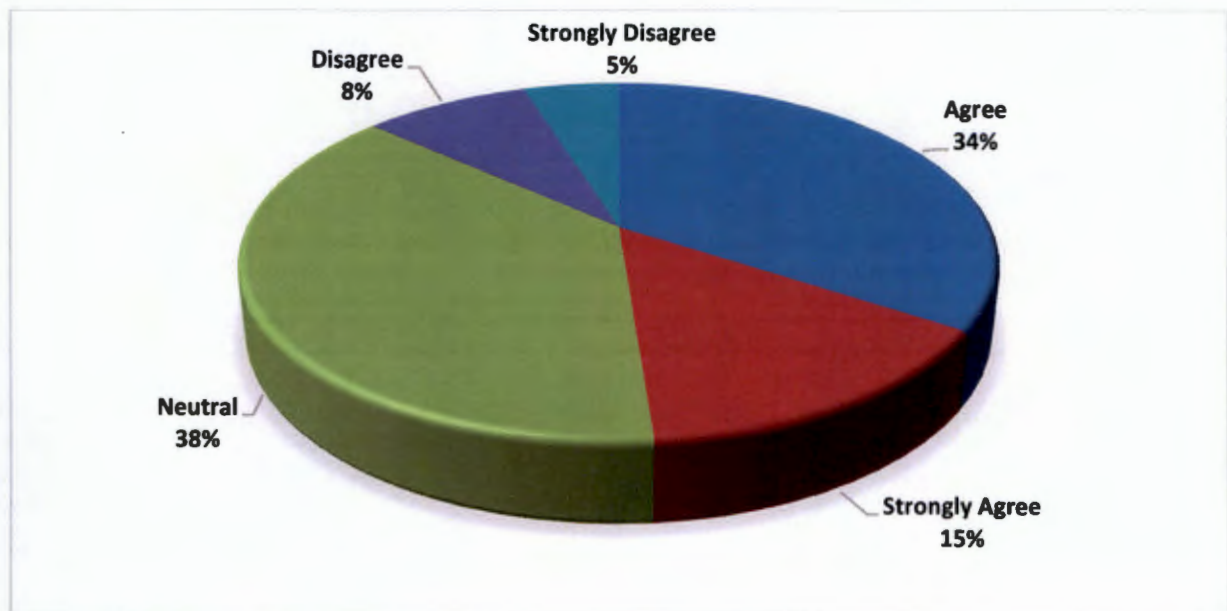
Figure 5.3.2.5 illustrates responses on whether performance appraisal encourages participants to be independent and innovative in their job.



Of the sample drawn, 19% of the sample, constituting who 12% of participants who disagreed and 7% who strongly disagreed, are represented in figure 5.3.2.5 above. The reasons could be that these employees are not afforded a chance to give any input, contribute new ideas of doing this, or do their job in a way that will enable them to timeously achieve targets their supervisors had set. The rest of the sample is spread between 27% of the population who agreed, 28% strongly agreed and 26% remained neutral. The 26% who remained neutral might be because they are not aware of opportunities put in place to make their work better for them.

### 5.3.3 Performance appraisal feedback

The following figure (5.3.3.1) encompasses responses on whether the feedback respondents receive beneficial feedback from their supervisor.



Of the sample selected based on table 5.3.3.1 above, the majority, who constitute 38%, were neutral that the feedback they receive is beneficial to them, while the smallest fraction of the sample, 5%, strongly disagreed. The sample encompasses 34% participants who agreed and 15% who strongly agreed.

Figure 5.3.3.2 below illustrates responses of respondents on whether they receive feedback as regularly as possible regarding their performance

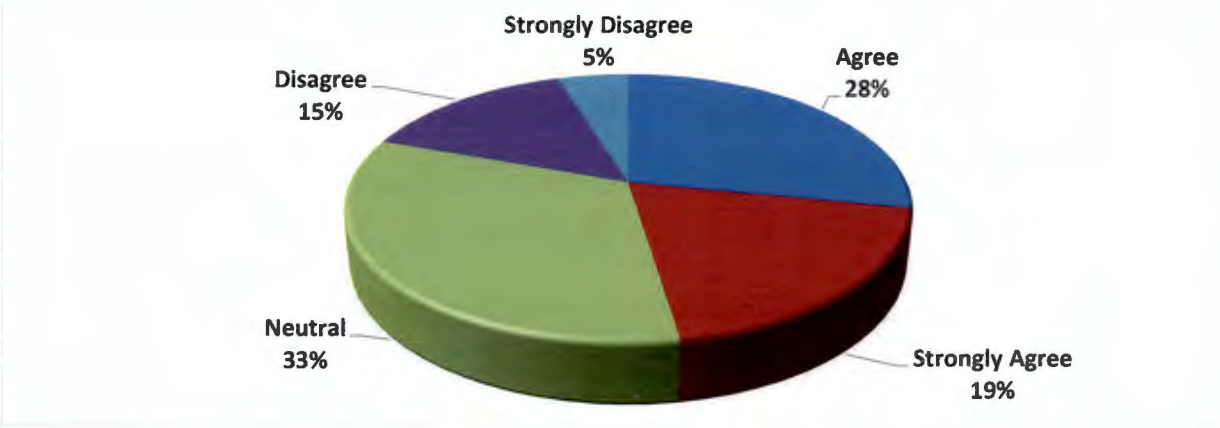
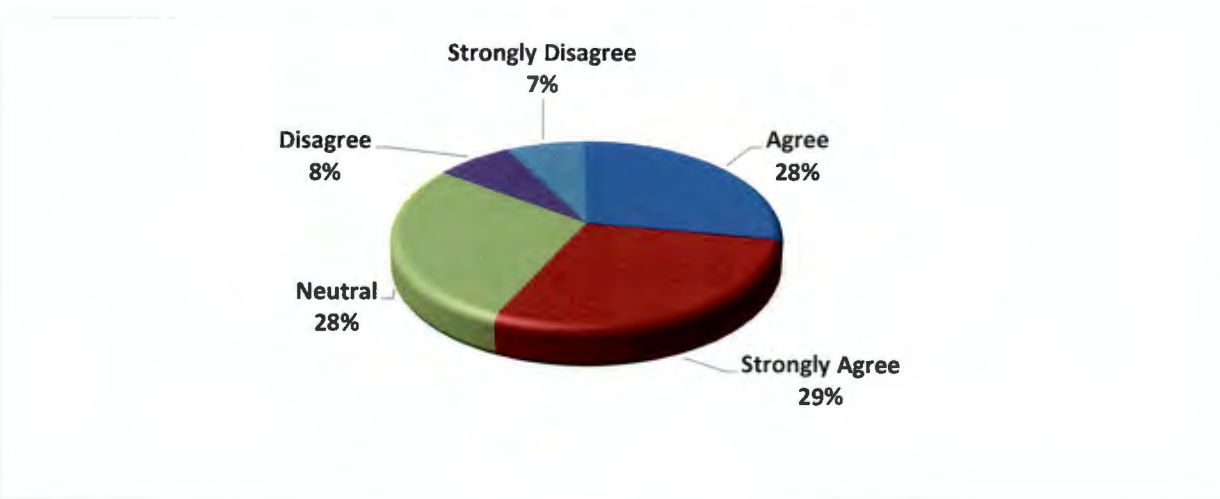


Figure5.3.3.2 illustrates that only 5% of the sample strongly disagree about having received feedback as regular as it should be, regarding their performance from their supervisors. This does not encourage employees to perform as the supervisors had expected them to and they might not be encouraged to perform their duties as planned. This then results in them not seeing the need to go through the appraisal process. The majority of the sample are neutral 33%, while 19% strongly agree.

Figure 5.3.3.3 below illustrates responses on whether participants utilise the feedback that they receive from their supervisor to perform better.



The smallest percentage of the sample, 7%strongly disagreed that they do not use the feedback they receive from their supervisor to better their performance as illustrated in figure 5.3.3.3. This could be that they are not aware of how to better use the feedback they receive, which would be an opportunity for the Department to allow employees to undergo training. The largest sample of the population (29%) strongly agreed; these are employees who might be performing better at what they do and produce set targets at the end of the year. The rest of the sample is spread as follows: 28% agreed, 28% neutral and 8% disagreed.

Responses on whether participants are able to deal with negative feedback is illustrated in figure 5.3.3.4 below.

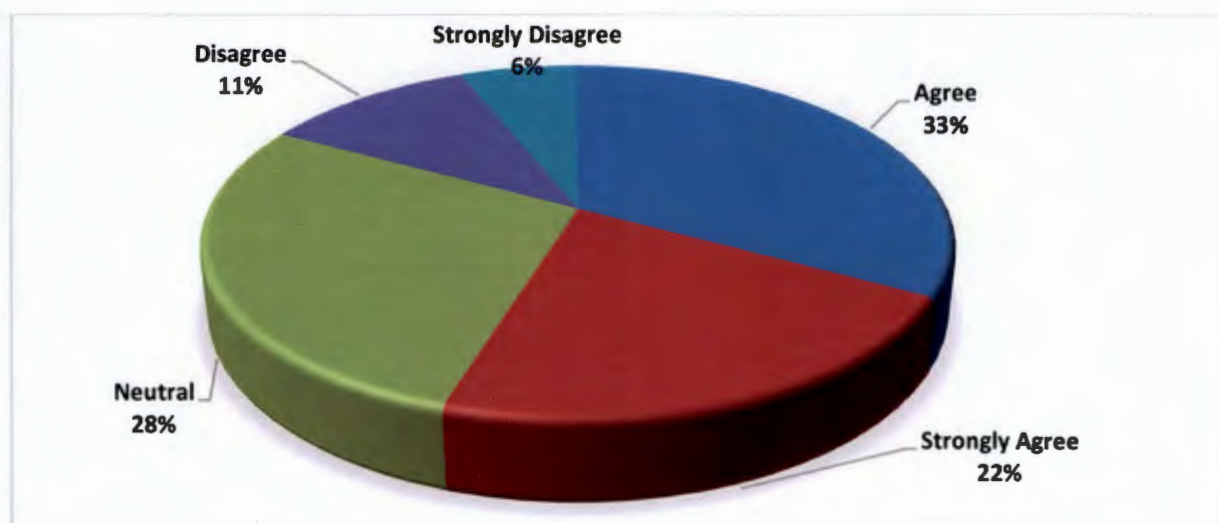


Figure 5.3.3.4 illustrates the number of participants who are able to deal with negative feedback. The majority of the respondents (33%) agreed that they are able to deal with negative feedback very well, while 28% strongly agreed. These are employees who are able to bounce back when they have not performed as expected by their supervisors and are able to use the feedback to better themselves. This sample also encompasses a small portion of the population, 6%, that strongly disagreed, 11% disagreed and 28% who were neutral.

Figure 5.3.3.5 encompasses responses on whether feedback facilitates the discussion on employee development

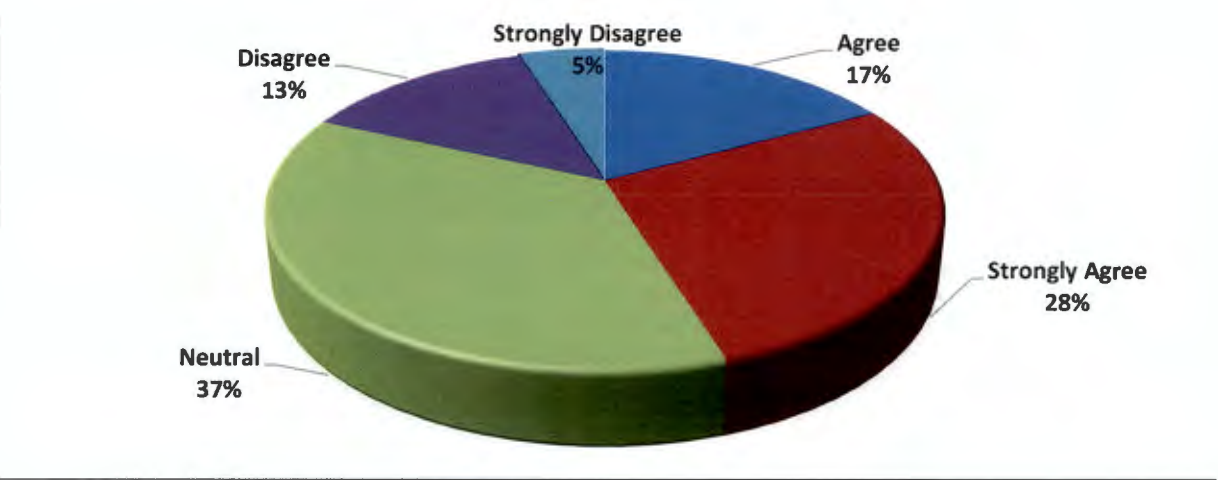
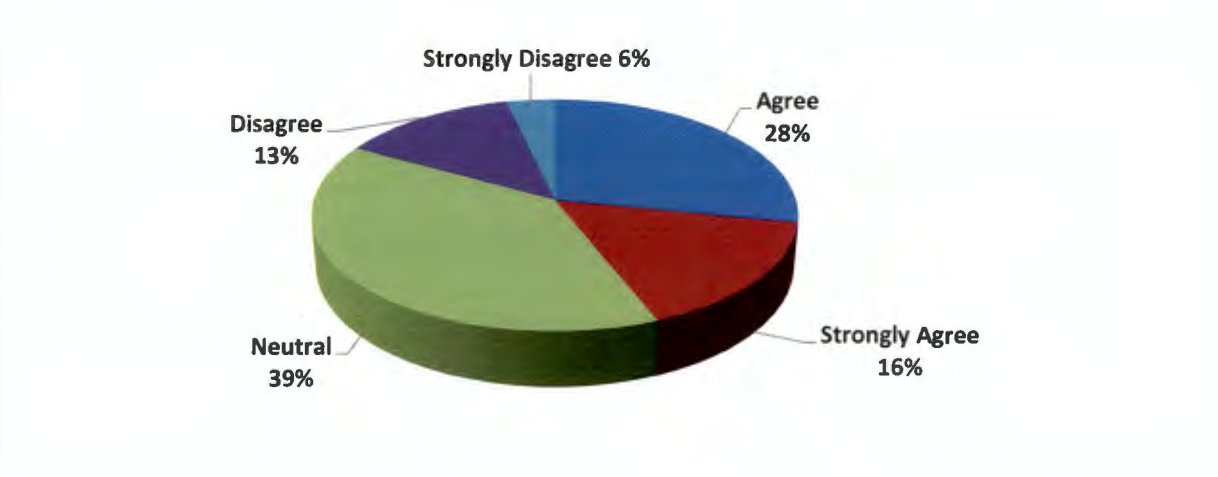


Figure 5.3.3.5 illustrates that a smaller fraction (5%) of the sample strongly disagree that the performance appraisal feedback does not facilitate the development-based discussion, while 13% disagree. This could be that these employees do not notice any performance appraisal feedback being used towards their development. This could result in an employee's inability to grow in their job, on account of demotivation. The rest of the sample is spread as follows: 37% were neutral, 17% agreed and 28% strongly agreed.

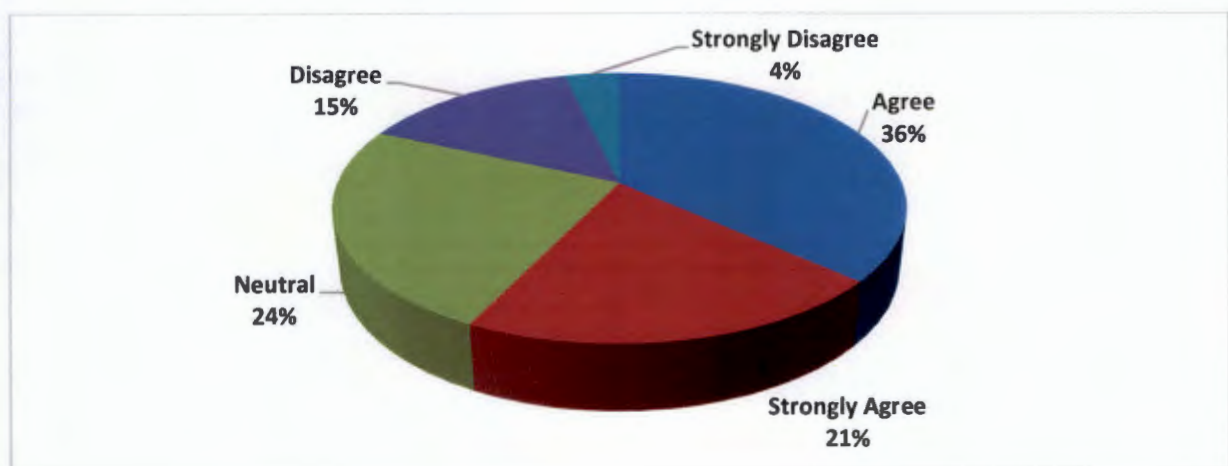
5.3.4 Performance planning

Responses of participants on whether they are given an opportunity to go through the necessary steps to plan for an appraisal session is illustrated in figure 5.3.4.1 below



Of the sample drawn, 28% agreed and 16% strongly agreed; these are employees who have a good working relationship with their supervisors, and are able to give inputs relating to planning of their performance appraisal process. The majority of the sample, 39%, remained neutral, while 4% strongly agreed and 13% disagreed. The smallest percentage (4%) of the population who strongly disagreed might not have been consulted by their supervisors when it comes to planning. In this case, this does not enable employees to grow in their job but rather to subvert seeing the importance of the performance appraisal that is put in place in the Department.

Figure 5.3.4.2 is an illustration of responses from participants on whether their performance appraisal plan include career development.



The largest fraction of the sample (36%) agreed that their performance appraisal plan includes career development as illustrated in figure 5.3.4.2 above. 15% of the sample disagreed. The smallest percentage of the sample (4%) strongly disagreed, while the rest of the sample was spread between 24% who were neutral and 21% who strongly agreed respectively.

Figure 5.3.4.3 below encompasses responses on whether the participants are able to make any improvement to their planned activities.

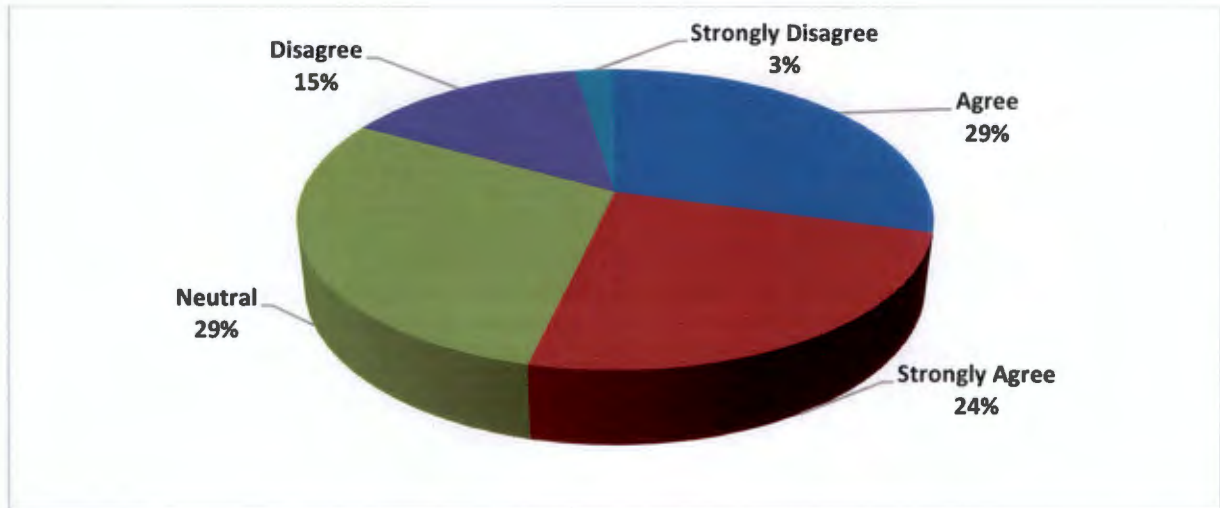
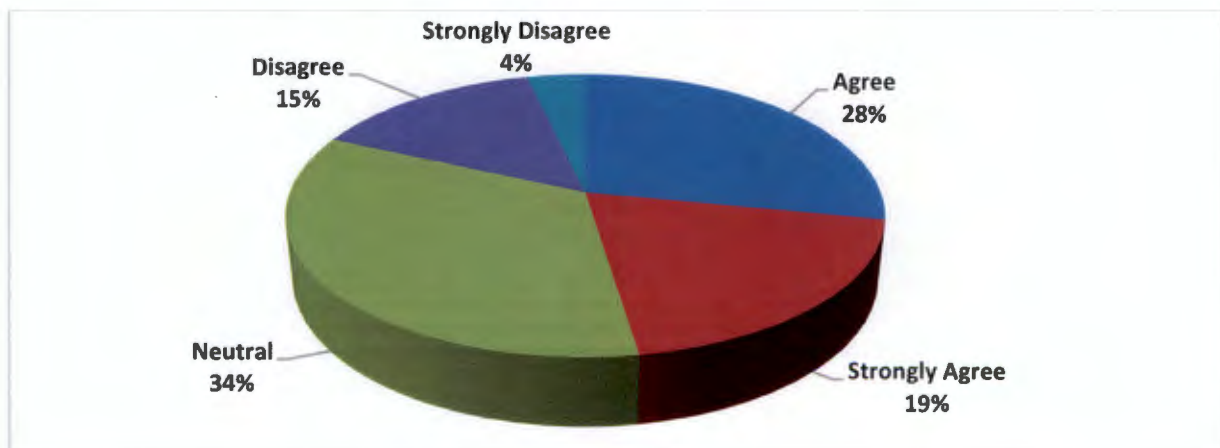


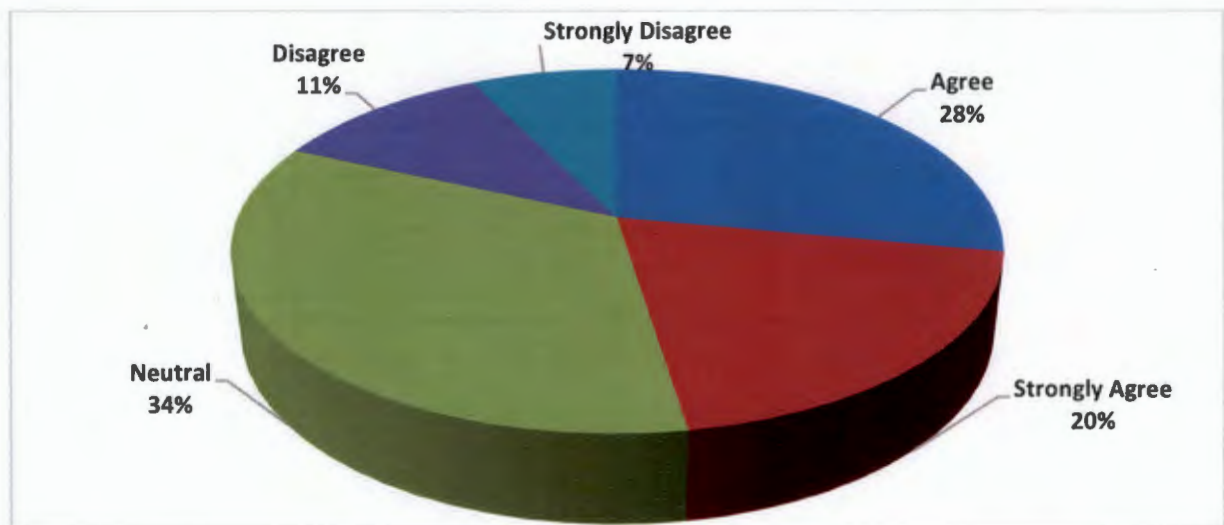
Figure 5.3.4.3 illustrates that 24% of the sample strongly agree that the performance appraisal employed in the Department affords them a chance to make adjustments to their planned activities, while 29% agree. The reasons might be that these employees are encouraged by their supervisors to perform better or they understand the performance appraisal technique put in place in the Department very well.

The following figure (5.3.4.4) encompasses response on whether there is an adequate amount of time given to participants to plan for their performance appraisal session.



Of the sample collected based on table 5.3.4.4, a smaller fraction (4%) strongly disagree and 15% disagree that there is adequate time given to plan for performance appraisal sessions with their supervisor. The reason for this could be because of the working relationship between the supervisor and employee, or even the employee not being informed on time to plan for the performance appraisal session. The remaining participants are spread between 34% neutral, 19% strongly agree and 28% agree.

Figure 5.3.4.5 below encompasses responses on whether participants' planning process encourages a good relationship between them and their supervisor



The table above illustrates that the majority of the sample, 34%, are neutral, and 20% strongly agree that the planning process encourages a good relationship between them and their supervisor. There might be two main reasons for this. The first is that both supervisor and employee work well together. The second reason could be that their supervisors encourage them in the work they do. 28% of the sample agree. The smallest fraction, 7% of the sample, strongly disagree. The reason could be that there is not a good working relationship between employee and supervisor.

#### 5.4 SECTION C: OPEN-ENDED QUESTION

Figure 5.4.1 below depicts responses of participants on areas that can be improved in the current performance appraisal technique utilised in the Department

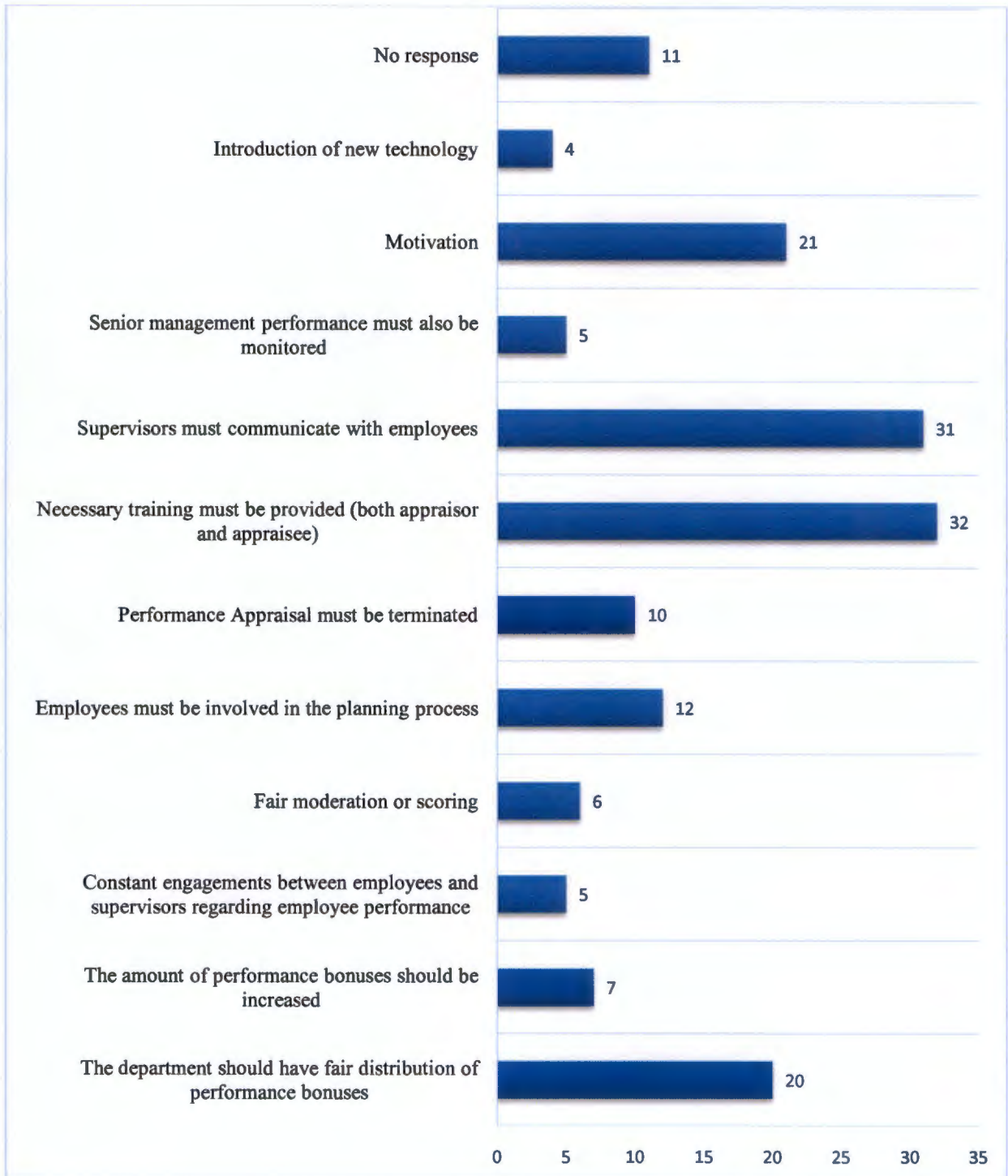


Figure 5.4.1 above is an illustration of how the sample responded to the open-end question on what can be done to improve the current performance appraisal technique used in the Department. The responses were split under relevant topics by the researcher. From the graph, the majority, which added up to 32 respondents wanted training to be a priority for both appraiser and appraisee, followed by 31 respondents who would wish that their supervisors should have constant communication with them. The reason for this could be that employees want to understand PMDS better, to develop as well as perform better in their job. Of the sample drawn, 20 of the respondents wanted fair distribution of performance bonuses or merit bonuses on their performance, while seven respondents said they would like to see an increase in the amount allocated for performance bonuses.

From the sample, 21 respondents from the population stated that they needed to be motivated by their supervisors. The figure further illustrates that five of the respondents would like their supervisors to have constant engagements with them; this could be in the form of feedback as to how they have performed. The reason could be that they would like to perform better and have a good working relationship with their supervisor. The technology sector is growing on a daily basis, which is why four respondents from the sample suggested that new technology should be employed to make reporting a lot easier and fairer. Of the sample drawn, 11 did not write anything or just "N/A".

## **5.6 CONCLUSION**

In this chapter, data collected through questionnaires was clearly analysed and presented. Furthermore, a computer spreadsheet programme was used to analyse the returned questionnaires from the employees in the Department. The findings presented encompassed comprehensive deliberation aided by means of the data analysed. As a concluding point, recommendations and conclusion relating to the findings in this study will be clearly presented in the next chapter.

## **CHAPTER 6: FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

The analysis of collected data was discussed in the previous chapter. In this last chapter, the researcher will present the findings gathered throughout this research paper, make conclusions and recommendations with regards to the implementation of performance appraisal in the Department of Finance in the North West Province, Mahikeng.

### **6.2 FINDINGS**

The researcher finds the following regarding the main research questions posed:

- **How effective is the current performance appraisal technique that is utilised in the North West Provincial Department of Finance, Mahikeng?**

Sub-questions 1.1 to 1.5 were posed to establish whether employees understand the performance appraisal technique utilized in the Department. From the sample drawn, in sub question 1.1 “do you understand the current performance appraisal technique used in the Department there were 56% of the participants who agreed and 17% strongly agreed. There was only a 9% of the sample, consisting of 5% who disagreed and 4% strongly disagreed that they do not understand. This is an indication that the majority of the sample agreed with the question and employees are well informed of the performance appraisal technique employed in the Department.

Sub question 1.2 “has your supervisor explained the current performance appraisal technique to you?” encompassed a small percentage of participants (5%) who strongly disagreed. The researcher in this study discovered that a majority of 35% of the sample agreed that their supervisors have explained the performance appraisal to them. Sub question 1.3 from the structured questionnaire on whether the current performance appraisal technique allows employees give their inputs about their perception of the work they do. From the data analysed 13% of the participants disagreed, while 22% strongly agreed and 31% agreed. The larger percentage of the sample proves the statement to be true.

The study revealed that there are employees who are not encouraged to attend performance appraisal training. Evidence of this is the number of participants, constituting 12%, who disagreed and 4% who disagreed. Sub question 1.5 was posed to establish whether the current performance appraisal allows for good communication between employees and their supervisor.

A majority of the participants (24%) strongly agreed and 27% agreed. The study revealed that 3% of the sample strongly disagreed.

**•How does the current position of performance appraisal in the Department affect employee performance?**

Section B, question 2 of the structured questionnaire addresses how the current position of performance appraisal technique affects employee performance. Sub question 2.1 being the core area relating to this question, established that the majority of respondents (40%) agreed and 18% strongly agreed that their performance is monitored corresponding to the performance appraisal technique employed in the Department. This then revealed that employees are equipped with the relevant knowledge with regards to performance appraisal and are able to perform based on set outcomes by them and their supervisor.

Sub question 2.2 established whether employees are given a chance to give any input in the process of performance planning, in any form, including coming up with new ideas of doing things (being innovative) as well as being independent in doing their job to assist in improving their performance and not being too dependent on their supervisor. The study revealed that only 4% of the participants strongly disagreed while the majority (32%) agreed.

Incentives are also an essential part of performance appraisal. Sub question 2.3 (are there incentives put in place to encourage employees to perform better) was posed to establish whether there are incentives put in place to motivate employees. A majority of the sample (63%) consisting of 33% who agree and 30% strongly agreed indicated that, certainly, there are incentives put in place to motivate their performance. Only 9% of the sample drawn disagreed the reason might be that they do not receive performance bonuses which are put in place, or have not received any sort of incentive to motivate them to perform better.

Sub question 2.4 was posed to establish whether employees are motivated by their supervisors in order to perform better. The sample indicated that the majority of the sample (23% strongly agreed and 28% agreed) while a small percentage constituted of 14% who strongly disagreed and 7% who disagreed. The findings have revealed that the small percentage of participants needs motivation from their supervisors to enable them to reach set objectives and obtain satisfactory scores when assessment takes place.

Independence and innovation is an important part of an employee's growth within an organisation. Sub question 2.5 established that 28% of the participants strongly agreed that the current performance appraisal technique employed in the Department encourages them to be innovative and fosters independence. The study revealed that of the sample drawn, only 7% strongly disagreed.

**•Is the feedback from your supervisor beneficial in relation to your performance?**

Feedback is an important part of any performance appraisal process. Feedback can contribute negatively or positively to the performance of an employee. Negative feedback can potentially be valuable information. Sub question 3.1 was posed to establish whether employees receive beneficial feedback from their supervisor. The sample indicated that for 38%, a supervisor needs to use the feedback they give to employees in a positive way as much as possible. Some examples include giving instances on when an employee's performance was poor, giving employees accurate information about their performance, as well as the supervisor understanding that in some instances employees have matters that are beyond their control; which then allows the employee to plan for ways to correct or address factors that can assist in rectifying the mistake.

Sub questions 3.1 to 3.5 of the questionnaire critically looked into the feedback received by employees based on their performance. Question 3.4 in particular looks at how employees are able to deal with negative feedback. From the sample drawn, only 6% disagree that they are not able to deal with negative feedback. The reason for this would be that they are not motivated enough in their work, wherein their supervisor would need to encourage them and put incentives in place to motivate them and also encourage them.

**• How does performance planning affect employee performance?**

The research posed this question to try to establish whether employees see the need for performance planning to take place. Sub question 4.1 of the questionnaire is the core of this particular question. From the sample drawn, a majority of the respondents (39%) remained neutral. This is an indication that there is not a lot being done with regards to encouraging employees to plan their performance with their supervisor. The study discovered that a total of 13% disagreed to the posed question. Career development is essential part for an employee to

progress in the organisation. The study revealed that of the sample drawn, there were 36% of the participants who agreed that their performance appraisal plan includes career development. This is an indication that employees are offered a chance to develop in the work they do and progress.

Sub question 4.3 revealed that only 3% of the participants strongly disagreed to the question posed to establish if performance appraisal affords them to make any adjustments to their planned activities. Planned activities allow employees to meet targets set by them and their supervisors. The analysed data further revealed that 24% of the sample strongly disagreed, while 29% were neutral.

Sub Question 4.4 of the questionnaire was posed to establish if employees are given enough time to plan for a review session, which includes gathering required information relating to their performance. The sample indicates that 4% of the participants strongly disagreed and 15% disagreed that they are not given time to plan. This indicates that supervisors might be informing employees about performance sessions in a short space of time or there might not be a good working relationship and good communication between supervisor and employee.

Sub question 4.5 was posed to establish whether planning for performance with their supervisor encourages a good working relationship. From the sample drawn, it was established that 7% of the participants disagreed, while the larger part of the sample consisting of 20% who strongly agreed and 28% who strongly agreed.

#### **•What can be done to improve the current performance appraisal technique?**

As part of the structured questionnaire, the researcher posed one open-ended question to try to establish what the employees of the Department thought might be done to develop the performance appraisal technique employed. From the sample drawn 4 (four) main issues were: training (32), communication (31), motivation (21) and fair distribution of performance bonuses (20). These issues are those that need the most attention based on the sample drawn from this study. Supervisors and employees need to have a good and healthy working relationship, which allows them to communicate better. Good communication allows employees to be more open about issues affecting their job as well as making any suggestions on how to tackle any obstacle in the workplace. However, an employee cannot raise issues if the supervisor is not open to new

ideas of doing things to achieve set goals. This entails that supervisors should also have an open mind, which will allow room for innovation as well.

The study revealed that fair distribution of performance bonuses is also an area with regards to performance appraisal that needs more attention. Performance bonus is an incentive that is put in place to motivate employees to meet set targets. The study revealed that 21 participants would like to see their supervisors motivating them. This is an indication that supervisors should constantly use incentives put in place as a means of motivating employees.

### **6.3 CONCLUSIONS**

From the evidence collected for this study the following conclusions can be made:

According to the researcher's findings, it can be concluded that the Provincial Department of Finance, Mahikeng still has gaps that exist with regards to the performance appraisal technique utilised in the Department. There are employees that still need to be equipped with more knowledge relating to the performance appraisal technique. Based on the findings, employee performance is monitored moderately. The data analysed revealed that there are employees who require their performance monitored regularly. Monitoring of performance allows employees to know whether they have reached set targets or not.

Performance feedback is an important aspect of employee accomplishment of set targets. Information provided by supervisors to their subordinates should be relevant. Employees should at all times be given a chance to have open and honest conversations with their supervisors about the feedback they receive. The study revealed that there are participants from the sample drawn who do not receive beneficial information about their performance from their supervisors.

Performance planning should be given more consideration based on the findings. The research findings revealed although there are employees who are given a chance to properly plan for a performance appraisal session, there are employees who are not. Planning for performance appraisal sessions is pivotal as it encourages good relationships between subordinate and supervisor as well as good communication. There are areas with regards to the performance appraisal technique that participants feel still need to be improved. The researcher discovered that the four areas most participants identified are training, communication, motivation and fair distribution of performance bonuses. It can be concluded that the Department should invest more

time in these areas to improve and motivate employees to work towards attaining the organisational goal.

#### **6.4 RECOMMENDATIONS**

The researcher makes the following recommendation on conclusions:

- Based on the researcher's findings, the performance appraisal technique utilised in the North West Department of Finance, Mahikeng, still has gaps. The researcher recommends that Department ensures the current performance appraisal techniques used should afford employees constant engagements with their supervisors, and communicate difficulties they encounter in their work.
- The Department should ensure that employee performance is monitored and that incentives put in place are distributed fairly to employees, thus encouraging them to perform better. Incentives can be seen as a driving force towards the attainment of set targets.
- With regards to performance feedback, supervisors should constantly provide subordinates with relevant information. Where there is negative feedback, subordinates should be encouraged to use it to perform better and this will promote employee development in the Department.
- Employees should be given a chance to voice their opinion on how the assessment process can be carried out; this will assist with knowing which areas need improvement for better performance in the long run. Supervisors in the Department need to provide employees with relevant and accurate performance feedback, which will allow employees to develop in the organisation.
- Performance planning ensures that set targets are attained. Performance planning can improve the level of attainment of set targets through setting realistic time-frames and supervisors informing employees about performance appraisal review sessions on time. Employees should be given enough time to plan and talk through set targets regularly.
- The Department needs to put more effort into training the small percentage of employees who make up the sample, thus ensuring that employees understand the performance appraisal technique which is employed in the Department. A well-executed performance appraisal

technique will result in a rise in the level of performance by employees as well as the attainment of the organisational goal.

- The Department must employ techniques to motivate employees, such as giving feedback on the set time/date, offering more incentives to employees as well as recognizing good performance; more should be set in motion.
- About performance appraisal training, it is recommended that the Department offers employees relevant training to equip them with the relevant knowledge to enable them to plan for their performance appraisal sessions. Newly appointed employees should undergo PMDS training within 30 days of appointment in the Department, as this will enable them to be equipped with the relevant knowledge for them to perform better in their work.
- It is recommended that an online electronic system can be developed to assess employee performance. This system can be utilized to grade employee performance as well as reward deserving employees on their performance and reduce the level of complaints made by employees with regards to employee performance being underscored.

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Dear Sir/Madam

REQUEST FOR PERMISSION TO COLLECT DATA FOR RESEARCH PURPOSES

I am a Masters student from the North West University in Mahikeng. I am writing this letter to ask permission to conduct research for the purpose of my Masters studies. My study is titled "Investigation into the impact of Performance Appraisal on the performance of employees in the North West Department of Finance".

The assistance I need from your office is the permission to conduct a study which entails administering questionnaires. The results of my study will be used for academic purposes only. The submission date for my research report is September 2017.

You can contact me on 078 3509 572 (Manye Kegomoditswe, or alternatively email [preciousmanve31@gmail.com](mailto:preciousmanve31@gmail.com). Thank you for your time and consideration. Looking forward to a positive consideration of this request.

Sincerely

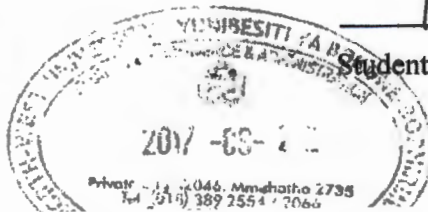
Kegomoditswe

A handwritten signature in black ink, appearing to read 'Prof Mello'.

Supervisor (Prof Mello) 082 9002 336

A handwritten signature in black ink, appearing to read 'Manye Kegomoditswe'.

Student (Manye Kegomoditswe)





**feed**

Department:  
**Finance**  
North West Provincial Government  
Republic of South Africa



Second Floor, Garona Building, Mmabatho  
Private Bag X2060  
MMABATHO 2735  
[www.treasury.nwpg.gov.za](http://www.treasury.nwpg.gov.za)

**OFFICE OF THE HOD**

Enquiries: Gordon Letlhogile  
Tel: 018 388 4998/9

Email: [gletlhogile@nwpg.gov.za](mailto:gletlhogile@nwpg.gov.za)

**Ref:2/8/1/1/2**

Attention : Kegomoditswe Manye  
North West University  
Mafikeng Campus  
Corner of Albert Lithuli Drive  
MMABATHO  
2735

13 August 2017

**RE: REQUEST FOR PERMISSION TO COLLECT DATA FOR RESEARCH PURPOSE**

Your letter dated the 22<sup>nd</sup> August 2017 requesting to conduct your research in our department has reference. The Department wishes to confirm that your request has been acceded to.

For further inquiries you may contact Mr Gordon Letlhogile: Acting Chief Director- Corporate Services on 018-388 4999.

Regards,

.....  
**Mr. N. J. Kunene**  
Head of Department



## ANNEXURE C

Dear Participant

I am a Masters student at the North West University, Mafikeng Campus. My study is titled “An Investigation into the impact of Performance Appraisal on the Performance of Employees in the North West Department of Finance”. The Department has granted me permission to hand out questionnaires to gather information relating to my study. I am conducting this study to finalise my research report, which could in future serve as a source for reference for the Province. Your identity will be kept confidential and all the results of my study will be used for academic purposes only.

For further enquiries please contact me on: 078 3509 572 (Precious) or email [manyeprecious31@gmail.com](mailto:manyeprecious31@gmail.com). My supervisor, Prof Mello can be contacted on 082 9002 336 should you need any further information.

## ANNEXURE D

Please complete the entire questionnaire as accurately and honest as possible.

### Section A: Demographic information

Please indicate with 'X' in the suitable box that best applies to you.

Gender	Male	Female			
Race	Black	Coloured	India	White	Other
Age	20-29	30-39	40-49	50-59	60-69
Highest educational qualification	Grade 12	Diploma	Degree	Honours	Masters
Salary level					
Years of service in the Department	1-5	6-10	11-15	16 and above	

### Section B: Performance appraisal technique questionnaire

Please circle suitable answers from the options provided below.

1. Agree      2. Strongly agree      3. Neutral      4. Disagree      5. Strongly disagree

	Question	Scale				
1. Current Performance Appraisal Technique	1.1 Do you understand the current performance appraisal technique used in the Department?	1	2	3	4	5
	1.2 Did your supervisor explain the current performance appraisal technique to you?	1	2	3	4	5
	1.3 Does the current performance appraisal technique allow you to give inputs about their perception of their work?	1	2	3	4	5
	1.4 Are you encouraged to attend performance appraisal training?	1	2	3	4	5
	1.5 Does the current performance appraisal technique allow good communication between you and the supervisor?	1	2	3	4	5

2.Employee Performance	2.1 Is your performance monitored with regards to the performance appraisal technique employed in the Department?	1	2	3	4	5
	2.2 Are you allowed to give any input in the performance planning and appraisal process?	1	2	3	4	5
	2.3 Are there any incentives put in place to encourage you to perform well?	1	2	3	4	5
	2.4 Are you given any motivation by your supervisor to perform better in your job?	1	2	3	4	5
	2.5 Does performance appraisal encourage independence and innovativeness?	1	2	3	4	5
3. Performance Appraisal Feedback	3.1 Is the feedback you receive beneficial?	1	2	3	4	5
	3.2 Do you receive feedback as regular as possible regarding your performance?	1	2	3	4	5
	3.3 Do you use the feedback you receive from your supervisor to better your performance?	1	2	3	4	5
	3.4 Are you able to deal with negative feedback?	1	2	3	4	5
	3.5 Does the performance appraisal feedback you receive facilitate the discussion on employee development?	1	2	3	4	5
4.Performance Planning	4.1 Are you given an opportunity to go through the steps put into place to plan for the appraisal session with your supervisor?	1	2	3	4	5
	4.2 Does the performance appraisal plan include career development?	1	2	3	4	5
	4.3 Does the performance appraisal technique afford you a chance to make adjustments to your planned activities?	1	2	3	4	5
	4.4 Is there an adequate amount of time given to plan for the performance appraisal sessions?	1	2	3	4	5
	4.5 Does the planning process encourage a good relationship between yourself and the supervisor?	1	2	3	4	5

**Section C: Comments**

What can be done to improve the current Performance Appraisal technique employed in the Department?

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## ANNEXURE E

### PERFORMANCE AGREEMENT PROFORMA

**Following completion of this form, a copy must be forwarded to the Component:  
Human Resource Management**

#### ENTERED INTO BY AND BETWEEN:

The Department of **Finance** herein represented by \_\_\_\_\_

in his capacity as \_\_\_\_\_ of the  
North West Department of **Finance** (herein referred to as the Employer)

and \_\_\_\_\_

as \_\_\_\_\_ of the North West Department  
of **Finance** (herein referred to as the Employee)

#### WHEREBY IT IS AGREED AS FOLLOWS:

##### 1. PURPOSE

- 1.1 The purpose of entering into this agreement is to communicate to the Employee the performance expectations of the Employer.
- 1.2 The performance agreement and accompanying work plan shall be used as the basis for assessing the suitability of the Employee for permanent employment (if on probation); and to assess whether the Employee has met the performance expectations applicable to his/her job. In the event that the Employee has significantly exceeded the performance expectations, he/she may qualify for appropriate rewards. Details are outlined in the Performance Management and Development System Policy.
- 1.3 Should any non-agreement arise between the Employer and the Employee in respect of matters regulated by this agreement, the employee may apply the formal grievance rules of the Public Service (published in Government Notice R1012 of 25 July 2003).

##### 2. VALIDITY OF THE AGREEMENT

- 2.1 The agreement will be valid for the period **DD/MM/YY to DD/MM/YY**

#### Signature

**Employee:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_ **Date:** \_\_\_\_\_

2.2 The content of the agreement may be revised at any time during the above-mentioned period to determine the applicability of the matters agreed upon, especially where changes are significant.

2.3 If at any time during the validity of this agreement the work environment of the Department of **Finance** (whether as a result of Government or Management decisions or otherwise), to the extent that the contents of this agreement are no longer appropriate, the contents shall immediately be revised.

3. **JOB DETAILS**

Persal number :  
Component :  
Unit :  
Salary level :  
Notch or MMS package :  
Occupational classification :  
Job Title :

4. **JOB PURPOSE**

5. **REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES**

**Signature**

**Employee:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_ **Date:** \_\_\_\_\_

6. **PERFORMANCE ASSESSMENT FRAMEWORK**

Performance will be assessed according to the information contained in the work-plan and the Generic Assessment Factors (GAFs).

6.1 The KRAs and GAFs during the period of this agreement shall be as set out in the table below:

6.2 The Employee undertakes to focus and to actively work towards the promotion and implementation of the KRAs within the framework of the laws and regulations governing the Public Service. The specific duties/outputs required under each of the KRAs are outlined in the attached work-plan. KRAs should include all special projects the Employee is involved in. The work-plan should outline the Employee's specific responsibilities in such projects.

KRAs	Weight
1.	
2.	
3.	
<b>Total</b>	<b>100%</b>

**NOTE: WEIGHTING OF KRAs MUST TOTAL 100%**

6.3 The Employee's assessment will be based on her/his performance in relation to the duties/outputs outlined in the attached WORKPLAN as well as the GAFs marked here-under. At least **five** GAFs, inclusive of any that may become prescribed from time to time, that are deemed to be critical for the Employee's specific job should be selected from the list.

<b>GAFs</b>	<b>Weight</b>
1. Job knowledge	20%
2. Technical skills	20%
3. Acceptance of responsibility	20%
4. Quality of work	20%
5. Planning and execution	20%
<b>Total</b>	<b>100%</b>

**NOTE: WEIGHTING OF GAFs MUST TOTAL 100%**

**Signatures**

**Employee:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**7. CONDITIONS OF PERFORMANCE**

The Employer shall provide the Employee with the necessary resources and leadership to perform in terms of this agreement.

**8. PERFORMANCE ASSESSMENT**

The assessment of an Employee shall be based on her/his performance in relation to the KRAs and GAFs and performance indicators, as set out in this PERFORMANCE AGREEMENT and attached WORKPLAN.

The performance of the Employee in respect of all individual KRAs and all individual GAFs will be assessed using a 5 point rating scale, i.e.:

- 5= OUTSTANDING PERFORMANCE**
- 4= PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS**
- 3= FULLY EFFECTIVE**
- 2= PERFORMANCE NOT FULLY EFFECTIVE**
- 1= UNACCEPTABLE PERFORMANCE**

The total KRAs and the total GAFs scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 5 point assessment scale.

**Employees:** KRAs shall contribute 70% and GAF's 30% of the final assessment.

9. **FEEDBACK**

Performance feedback shall be in writing on the September Review Form and Annual Review Form, based on the supervisor's assessment of the employee's performance in relation to the KRAs and GAFs and standards outlined in this performance agreement and taking into account the Employee self-assessment.

10. **DEVELOPMENTAL REQUIREMENTS**

- 10.1 The Employer and Employee agree that the following are the Employee's key development needs in relation to his/her current job and envisaged career path in the Public Service.

**\* ONLY ITEMISE DEVELOPMENT AREAS BELOW**

**Signatures**

Employee: \_\_\_\_\_ Date: \_\_\_\_\_ Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

- 10.2 In so far as the above training needs coincide with the Employer's requirements and taking into account financial realities, the Employer undertakes to expose the Employee to development in these areas. The developmental needs of the Employee shall be reviewed as part of the September Review and the annual assessment of performance. Details of courses, conferences, etc. to be attended shall as far as possible be included in the Employee's PDP.

11. **TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL ASSESSMENT**

- 11.1 September Review: 1<sup>st</sup> week in October 2017  
11.2 Annual Review: 1<sup>st</sup> week in April 2018

12. **MANAGEMENT OF POOR PERFORMANCE OUTCOMES**

Manager and employee will identify and develop interventions together to address poor and non-performance at feedback sessions, or any time during the performance cycle

13. **DISPUTE RESOLUTION**

- 13.1 Any dispute about the nature of the employee's PA, whether it relates to key responsibilities, priorities, methods of assessment and/or salary increment in this agreement, shall be mediated by the **Director Strategic Management**: (next person in hierarchy).

13.2 If this mediation fails, the normal grievance rules will apply.

**14. AMENDMENT OF AGREEMENT**

Amendments to the agreement shall be in writing and can only be effected after discussion and agreement by both parties.

**Signatures**

**Employee:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**15. SIGNATURES OF PARTIES TO THE AGREEMENT**

The contents of this document have been discussed and agreed with the Employee concerned.

**Name of Employee:**

**Signature:** \_\_\_\_\_

**Date:**

\_\_\_\_\_

**AND**

**Name of Supervisor:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

ANNEXURE F: Annual Work Plan

ANNUAL WORKPLAN OF: \_\_\_\_\_

KRAs	WEIGHT	KEY ACTIVITIES	PERFORMANCE MEASURES	
			TARGET DATE	INDICATORS (QUALITY/QUANTITY)
TOTAL	100%			

GAF	WEIGHT
1. Job knowledge	20%
2. Technical skills	20%
3. Acceptance of responsibility	20%
4. Quality of work	20%
5. Planning and execution	20%
TOTAL	100%

Employee: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**ANNEXURE G**

9 Sunbird place

Arendskloof

Safari Gardens

Rustenburg

30/05/2019

This is to certify that the dissertation entitled

**AN INVESTIGATION INTO THE IMPACT OF PERFORMANCE  
APPRAISAL ON THE PERFORMANCE OF EMPLOYEES IN  
THE NORTH WEST PROVINCIAL DEPARTMENT OF FINANCE**

Submitted by

**PRECIOUS KEGOMODITSWE MANYE**



Orcid.org 0000-0003-4684-7832

For the degree of

**MASTER OF PUBLIC ADMINISTRATION**

At the

**MAFIKENG CAMPUS  
NORTH WEST UNIVERSITY**

Has been edited for language by

Mary Helen Thomas (B.Sc. Hons. PGCE)

A handwritten signature in cursive script that reads 'Mary Helen Thomas'.