

**PERFORMANCE MANAGEMENT SYSTEM
AS A TOOL FOR PROMOTING EFFECTIVE
WASTE CONTROL: THE CASE OF
EMFULENI LOCAL MUNICIPALITY**

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ACRONYMSLOCAL MUNICI

BCMM:	Bufallo City Metropolitan Municipality
BKB:	Bontle- ke- Botho
BSC:	Balanced Scorecard
CBD:	Central Business District
CSIR:	Council of Scientific and Industrial Research
DBSA:	Development Bank of Southern Africa
DEA:	Department of Environmental Affairs
DEAT:	Department of Environment Affairs and Tourism
DPLG:	Department of Provincial and Local Government
DPSA:	Department of Public Service and Administration
DWAF:	Department of Water Affairs and Forestry
ELM:	Emfuleni Local Municipality
EPWP:	Expanded Public Works Programme
HRD:	Human Resource Development
IDP:	Integrated Development Plan
IWMP:	Integrated Waste Management Plan
KPAs:	Key Performance Areas
KPIs:	Key Performance Indicators
KPTs:	Key Performance Targets
LLF:	Local Labour Forum
LRA:	Labour Relations Act No. 6 of 1995
MFMA:	Municipal Financial Management Act No 56 of 2003
MRF:	Material Recovery Facility
MSA:	Municipal Systems Act No. 32 of 2000

NBI:	National Business Initiative
NEMA:	National Environment Management Act No.107 of 1998
NGO:	Non- government organization
PA:	Performance Appraisal
PAC:	Performance Audit Committee
PFMA:	Public Financial Management Act
PGPs:	Personal Growth Plans
PM:	Performance Management
PMP:	Performance Management Plan
PMS:	Performance Management System
PSC:	Public Service Commission
RSA:	Republic of South Africa
SAICA:	South Africa Institute of Chartered Accountants
SALGA:	South African Local Government Association
SALGBC:	South Africa Local Government Bargaining Council
SDBIP:	Service Delivery and Budget Implementation Plan
TQM:	Total Quality Management
WMO:	Waste Management Officer
WMU:	Waste Management Unit

DECLARATION

I HEREBY DECLARE THE MINI-DISSERTATION TITLED **“PERFORMANCE MANAGEMENT SYSTEM AS A TOOL FOR PROMOTING EFFECTIVE WASTE CONTROL: THE CASE OF EMFULENI LOCAL MUNICIPALITY”** IS MY OWN WORK AND THAT ALL SOURCES QOUTED HAVE BEEN ACKNOWLEDGED BY MEANS OF COMPLETE REFERENCE.

SIPHO JEFFREY NGWENYA

DATE

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***“Energy and perseverance can fit a man for almost any kind of position”.
Theodore F. Merseles.***

ABSTRACT

This study aimed at evaluating the degree to which Performance Management System is being executed at Waste Management Unit within the Emfuleni Local Municipality hence the topic “Performance Management System as a tool for promoting effective waste control: The case of the Emfuleni Local Municipality.” The Performance Management System issues a structure for establishing development needs, determining suitable resources, and making the recommendations regarding suitable PMS of which managers in an accountable manner can utilize to enable the Waste Management Unit to be economical, effective and efficient in its actions. In order to weigh up the scope of service delivery to the communities, and to evaluate whether the objectives of Waste Management Unit at ELM are being accomplished, the entire municipality should be compelled to execute performance management for all members of staff as stipulated by Municipal Systems Act 32 of 2000 and Municipal Planning and Performance Management Regulations, 2001.

This study starts by introducing the subject of performance management system, briefly discussing introductory orientation and background rationale, problem statements, research methods and literature review. Subsequent to introduction of the study are the international perspectives on efficient performance management and an overview of performance management in the Waste Management Unit at Emfuleni Local Municipality. Thereafter the discussion on empirical research, findings and recommendations will serve as the last three chapters.

Findings uncovered amongst others, include; the lack of knowledge of PMS amongst Waste Management Unit employees at lower level ranks. No PMS is applied at Waste Management Unit and as the result job descriptions are used as measuring stick of performance. Individual performance at Waste Management Unit is never discussed with the employees. No training of development programmes for employees at WMU to improve their performance. Findings from views of the community in terms of the performance reveal that there is no communication between the community and the Waste Management Unit in terms waste collection issues and its performance.

Chapter five of the research assesses each objective in terms of questionnaire responses, interviews and literature study. The assessment of information in chapter five offers the basis for drawing up recommendations. The findings and recommendations in Chapter 6 provide solutions to the research problem. It is anticipated that the outcomes of this research would provide strategic value for ELM as a whole and Waste Management Unit in particular.

CHAPTER 1

INTRODUCTORY ORIENTATION

1.1 INTRODUCTION

The Emfuleni Local Municipality (ELM) is experiencing a continuous influx of the people into its jurisdiction due to the ongoing residential and business development within the municipality. As a result of this influx the Municipality is experiencing severe backlogs in so far as the provision of adequate municipal waste collection services, among others, is concerned (DEAT, 2002). Waste service backlogs impact negatively on the quality of life, the environment and human health of all residents of the area (DEAT, 2002). According to Schubeler (1996: 18) it is important to maintain a system of solid waste management which caters for the demands of the whole population, in particular those residing in urban area.

This chapter introduces the study whose focus is on performance management as tool for promoting effective waste control at ELM. The chapter begins with orientation and background of the study, the problem statement, the hypothesis, research questions and objectives of the study, research methodology, literature review, empirical research ethical considerations and an overview of provisional chapters.

1.2 BACKGROUND RATIONALE

Waste management encompasses the duties of collecting, remove, treatment, recycling, resource recovery and disposal of municipal solid waste which is done in an effective, efficient and economical manner (Schubeler: 1996:9). The hypothesis of the study is that; performance management, as conceptualized by the Waste Management Unit at ELM, aims at developing the waste management employees and at ensuring that the work they do is in line with Integrated Development Plan (IDP) and organizational goals of the entire Municipality. According to Ranchod (2006:8) many managers and employees do not like performance management systems and very often, and for this reason, such a system does not succeed in meeting the organization's goal.

Performance management is stipulated in Section 152 (1) the Constitution of the Republic of South Africa (1996) as a command to strengthen the government's capacity

to deliver quality services to society through improved processes and systems which should achieve organizational effectiveness and mutual accountability.

According to Spangenberg (1994: 14) “performance management can be achieved through four stages, namely: performance planning; managing performance through activities such as coaching and providing assistance; reviewing performance formally and informally; and rewarding performance to the employees”.

Mathis and Jackson (2007:83) define performance management as “the procedure used to determine, measure, communicate, develop, and reward employee performance”. The above concept could serve as a contributor to achieving the organization’s mission. This will include phases such as setting expectations for employee performance, and maintaining good communication channels between the superiors and employees to keep performance expectations. Kanyane and Mabelane (2009:58) describe performance as “a complex matter that is grappled within government to certify that the government departments perform to their upper limits”.

Performance Management System (PMS) is a structure which outlines how performance management will be addressed and executed in the organization (George Municipality, 2008:3). It also outlines the roles and functions of stakeholders (George Municipality, 2008:3). The Department of Provincial and Local Government Performance (2001:9), also asserts that, when developing a PMS, there should be inclusion of the expanded structure where which performance management process will occur.

In terms of the Municipal Systems Act 32 of 2000, all municipalities must set up PMS that will encourage a philosophy of performance management among its stakeholders (political structures, political office bearers, councilors and its administration). This will include among others, setting targets, monitoring and evaluating performance built on indicators that are in line to their Integrated Development Plan (IDP) and publishing the performance for the councilors, staff, the public and other spheres of government. This Act (Municipal Systems Act 32 of 2000) further states the matters of the municipality should be carried out in an economic, effective, efficient and responsible manner.

According to Hildebrandt (2007:1) “existing research suggests that local government performance measurement and PMS are used in support of strategic planning, budgeting and other governance and managerial functions”. On the very same score, the ability of the municipalities to evaluate the performance of their employees is of critical significance if PMSs are presumed to encourage successful implementation of the municipalities planned goals and objectives. Du Plessis (2005: 5) supports and adds on that “a performance management system will help a municipality’s employees to understand their duties and purpose in contributing towards the strategic objectives of the local authority”. Du Plessis (2005:5) added on to say “performance managers should use performance management as a tool to motivate a municipality’s employees to achieve high standards in their own work, which will, in turn contribute towards the efficiency and effectiveness of that department, and thus also towards a more successful municipality as a whole”.

As stated by Olivier (2008:1), “the enhancement of a PMS should be done by line management, human resource management, and employees as a joint effort. This will as a result provide managers and employees to be owners of the PMS and ascertain that there is convincing dedication and responsibility. It also serves as a tool for development during the process of planning, performance evaluation and corrections”. Bascal (1999: 39) adds that “a valuable PMS is important in decision-making such as pay levels, bonuses, other rewards and promotion that are built on performance”. It is therefore, appropriate that the Key Performance Indicators (KPI’s) must be identified and used to serve as yard stick for measuring individuals and organizational performance. Outcomes and effects brought about the performance area should be included in these KPIs with regard to the development of priorities and objectives of the municipality as embedded in its IDP. The latter statement concurs with the Municipal Systems Act (32 of 2000) that needs each municipality to establish KPI’s and attain the standards set by them at the highest level. According to Jansen (2003: 10), “a municipality is often able to develop indicators and targets in relation to each development priority”.

As stated by the Department of Provincial and Local Government (DPLG) Guide (2001:39) “when projects and programs are executed, the municipal manager requires to establish a performance structure to follow the performance of all managers as they (managers) will in turn follow the performance of their subordinates. The structure of the PMS should clear up the following:

- Objectives for all ranks in the organization;
- Methods to follow performance;
- Ways of reporting continuously;
- Channels for accountability, and
- Organizational arrangement” (DPLG Guide, 2001:39).

According to Popovich (1998:40), “an essential feature of executing an above average performance in a workplace is through establishing a PMS that will allow one to gauge performance, give feedback and upgrade performance from time to time”. This will need the range of indicators if one is to measure performance and make judgment about effectiveness and efficiency. This seem to be lacking in the unit of waste management at ELM. As the result it may lead to wrong application of the PMS for efficient waste control which negatively impact on the employees and the output expected from the unit for managing waste. Oliver (2008: 2) states that “wrong application of PMS may lead to dissatisfaction and demotivation among the members of staff which could, in turn, lead to poor service delivery”. This observation forms part of the current study.

1.3 PROBLEM STATEMENT

The Municipal Systems Act 32 of 2000 of South Africa requires that waste management services be delivered to all local communities in an efficient, economically, environmentally and accountable way so as to encourage excellence in basic services, attainability and a continuous waste management services. These are however not

feasible without the strategy and execution of a sound PMS as well as an integrated waste management framework (Mnisi, 2008:4).

The Emfuleni Local Municipality (ELM) has been affected by the rapid increase of solid waste due to the establishment of local informal settlements, urbanization, economic development as well as accelerated population growth. This may lead to the outbreak of diseases that have a negative impact on human well-being and environmental sustainability. This challenge is pinned on irregular policies of the performance management of the employees within the Unit of the Waste Management for effective waste control. Municipalities across South Africa have responded to challenges such as mentioned with the development of the Local Government Turn Around Strategy which is also applicable in the waste management units for addressing waste service backlogs (Department of Environmental Affairs (DEA) 2011:1).

There is a relationship between organizational performance and individual performance management even though there are no systems and processes that are supportive in dealing sufficiently with the management in unpacking organizational performance into individual performance. Over and above, the procedure manual that clearly outline organizational and employee performance management alignment is not properly developed.

The intention of the study is to evaluate the motives for the absence of a logical system to monitor and review the performance of the waste management employees at ELM. This assessment will be conducted in order to emphasize the drawbacks in the PMS and to put forward recommendations in order to improve waste control at ELM.

The current waste service delivery target of the Emfuleni Local Municipality is to provide waste service to all households within its jurisdiction beyond measurable targets set by senior managers. Therefore, it will be difficult to track any improvement in waste service delivery or waste control. Thus in order to enhance the waste management unit, performance indicators is required to assess the existing PMS. This form of assessment, properly applied, is essential to evaluate and monitor the performance of the waste management employees in order to structurally and progressively improve.

1.4. HYPOTHESES

The following hypotheses were formulated:

- Effective service performance management system, communication and reporting may be tools for successful implementation of performance.
- Effective performance management can contribute towards the success and long-term operationalizing of Waste Management Unit at ELM and improved waste control in the long term.
- Empowered waste management employees through a performance management system may be influential in terms of fast tracking service delivery.

1.5 RESEARCH QUESTIONS

The following research questions are raised in this study:

- What is meant by PMS?
- To what extent do PMS promote employee efficiency of waste management at Emfuleni Local Management?
- What are the shortcomings of the PMS at ELM?
- What resolutions can be given to promote an effective execution of PMS for the structuring of waste management at ELM?

1.6 RESEARCH OBJECTIVES

The research objectives of the study are:

- Define the concept “PMS” in the municipal management context.
- Assess the extent to which the PMS exists within the waste unit at Emfuleni Local Municipality.

- Establish the model onto which the PMS will promote efficiency of waste management control at Emfuleni Local Municipality.
- Offer solutions that can promote efficient PMS structuring of the waste management unit at Emfuleni Local Municipality.

1.7 RESEARCH METHODOLOGY

In this study, the research methodology focuses on conducting literature study and methods of collecting data by way of empirical research.

1.7.1 LITERATURE REVIEW

This study will inform managers about the significance of taking responsibility of managing performance of their employees for the attainment of waste management unit's objectives at ELM.

It also aims at finding and exploring information that could define problems and allow for providing answers to the problems mentioned under the problem statement in particular on how PMS can be applied in the municipal context of waste management. In this regard the study utilizes the sources from the books, journals, internet articles, various municipal legislative framework, reports, circulars and / or applied findings.

1.7.2 EMPIRICAL RESEARCH AND DESIGN

Research fieldwork was carried at ELM's Waste Unit to assess the shortcomings of a PMS that questions the effectiveness and productivity of the Waste Management Unit. Potential answers to make sure performance worthiness have to be observed. Based on the nature of the problem identified, the qualitative and quantitative approaches were engaged as instruments to "answer questions about this complex nature of the phenomenon (Leedy and Ormrod, 2005:94)". This research is descriptive in nature as it can portray the nature of the circumstance, settings, processes, and systems built on performance management within the Waste Management Unit of ELM. For the intention of this research the survey instruments used are questionnaires and semi-interviews.

Senior and middle managers as well as the waste control employees at lower ranks of the hierarchy within the unit were subjected to interviews. Questionnaires were also distributed to the selected few local community members so as to gain their view on the performance of the waste control unit at ELM.

Two types of sampling were employed for the purpose of this research, namely: simple random selection and purposive sampling. The random selection was administered to the selected employees at lower level hierarchy of the unit and the purposive sampling was administered within the senior and middle management as they are the selected few people that have the knowledge of performance management issues in the Waste Management Unit. These selected few were sampled for the purpose of the performance management. The instruments used in this study, as mentioned above, have assisted the research to make an effort to validate and further interpret the findings extracted from the literature and come up with the desired suggestions (recommendations).

1.8 ETHICAL CONSIDERATIONS

Kumar (1996) defines ethics as “meaning in accordance with principles of conduct that are considered correct, especially those of a given profession or group”. The researcher thereof did obtain permission from the local official to be able to conduct the research at ELM. Participation in this study was voluntary, meaning that those who participated (senior managers, middle managers and waste services employees) were given the right to take part or withdraw from the study at any time during the process of carrying out the study. They were also informed that their responses to both the given questionnaires and interview session will be kept confidential. The response from participants’ views were used and reported upon as findings in this study. This, as will be seen later in the study, was done without any distortions and in a faithful manner as far possible as the researcher could do.

1.9 CHAPTER OUTLINE

Chapter 1: Introductory orientation.

This chapter serves the function of introducing the research topic as well as the problem statement. Included in this chapter are research questions, objectives and hypotheses.

Chapter 2: International perspectives on efficient performance management.

Chapter 3: The theoretical exposition on municipal performance management.

Chapter 4: An overview of performance management in the Waste Management Unit at Emfuleni Local Municipality.

Chapter 5: Empirical analysis on impact of performance management within the Waste Management Unit at ELM.

Chapter 6: Findings and recommendations.

CHAPTER 2

INTERNATIONAL PERSPECTIVES ON EFFICIENT PERFORMANCE MANAGEMENT

2.1 INTRODUCTION

Local government has been encouraged (as required by the statutes) to formulate performance indicators for its key activities, to measure its performance and to review its work in the context of economy, efficiency, and effectiveness (Fenwick, 1995: 104).

It is therefore essential to have knowledge of performance principles and approaches that should be followed to improve the levels of performance of municipalities (Van der Waladt, 2007: 110). The White Paper on Local Government (1998) recognizes performance as one of the instruments which must be implemented by municipalities in dealing with performance issues. The paper also requires municipalities to operate in collaboration with citizens within the local area to improve their livelihoods in an attainable and continuous manner.

The purpose of this chapter is to explore the international perspective on efficient PM and PMS in the public sector. To achieve this aim the chapter will provide the significance of the PM and PMS; clarify definitions, discuss relevant legislative frameworks for PMS, its strategic framework; performance models; performance management steps; and the cycle of organizational performance management processes.

2.2 THE SIGNIFICANCE OF PM AND PMS

For organisations to remain as high performing institutions as possible, be they private or public, they should improve and correctly use the PM and PMS (Arterly and Stroh 2001:1). According to Mwita (2000:27) PM is an efficient way of recognizing employees' performance and means of developing communication, learning and working plans for effective performance.

According to Letsoalo (2007:14) the aim of PM is to motivate performance by assisting individual employees to improve their skills, build a performance culture, determine prospects for promotion and to help in the implementation of business strategies.

The PM should not be used as a way of controlling or punishing under-performance as it may lose its value or be limited. Jerome (1997:57) also suggested that employee development plan, which is also part of the PM should be used to increase the chances of personal development of employees within an organisation in order for them to acquire skills for new roles, responsibilities, projects and opportunities in future.

“PM and PMS are very important for general management and accountability as they also provide a way in which stakeholders can monitor development and find areas that need improvements within organizations. Through the use of PMS, one should be able to identify what the organization is doing. PMS should be consistent with and linked to a department’s goals and objectives (Roos, 2009:43). “It should further more measure the quality and outcomes of services provided rather than the recourses used to reach that goal. PMS should also be community friendly and should emphasize effectiveness regarding meeting customer expectations and the efficiency of service delivery (Du Plessis, 2005:9)”.

Even though PM is basically developed as a tool to gauge and effectively control individual performance, it has been advanced to different features of organizational PM where the aims of the organization are converted into less complex aims to be carried at the level of individuals and teams (Oliver, 2008:19). Such individual and team performances should be an ongoing association with the plans and the objectives of the organization (Smith 2003: 11). Oliver (2008:19) in support of Smith (2003:11) states that,“PM determines the objectives of an organization, outcomes measures powerfulness and capabilities towards the objectives and methods to achieve such objectives. This sequence of measurement is investigated to confirm the full association with the entire outcomes of an organization”.

According to the Bascal (2004:3) the following are the advantages of PM:

- PM is utilized to ensure the work of an individual employee has a positive effect towards the goals of the particular work unit;
- Explaining clearly what needs to be done and how and why it must be done will limit the number of supervisors within an organization;
- A well done PM affords supervisors an opportunity to pinpoint problems and correct them as soon as possible. They need to impose measures to that effect;
- PM can contribute to productivity or efficiency. Other than being an instrument of productivity, it also defends managers when there are decisions to be taken for or against an individual employee, and
- PMS also puts a great deal of faith in management support as appraisers and facilitators of other people’s behavior (Bratton and Gold, 1999:31).

In terms of the Draft framework of George Municipality (2008:8) the importance of PM is as follows:

- Convert the vision, mission and IDP into comprehensible indicators, assessable results and performance levels that will be shared by the stakeholders;
- Give an instrument for approaching, controlling and developing the whole well-being and accomplishment of the series of actions and systems;

- Generate the values of best practice;
- Encourage accountability;
- Develop quality, cost, efficiency, effectiveness, customer service, employee alignment, motivation and skills so as to strengthen performance; and
- Lay out the foundation where which the organizational and individual performance will be managed.

2.3 DEFINITION OF PM AND PMS

2.3.1 PERFORMANCE MANAGEMENT

Mathis and Jackson (2007:83) define performance as “the process where performance data is used in order to make managerial decisions with an idea to develop the organization’s effectiveness and its outcomes as an activity applied to recognize, assess, communicate, develop and reward employee performance”. This concept could serve as a contributor to achieving the organization’s mission.”

Kanyane and Mabelane (2009:58) explain performance management as “a complex affair that contends within the government to make sure that a given department performs at its utmost best.”

Fletcher (2004:31) states that PM is the creation of a vision of the organization’s aims in helping each individual worker to understand his or her inputs to the aims and regulating and strengthening the employees and institutional performance. Armstrong and Baron (2000:7) define PM as a deliberate and unified method to administer the accomplishments of an organization in a sustainable manner by developing and capacitating the employees’ performance at individual and team level. According to Conradie and Schutte (2003:34) PM is a deliberate approach to management where a set of instruments and methods are used to prepare leaders, managers, workers and stakeholders at different levels. These instruments and methods (Conradie and Schutter, 2003;34) are used by those involved to strategize, assess and measure (at intervals) and evaluate the organization’s performance in accordance with the set of indicators and targets for effectiveness and economy.

Rogers (1994: 68) sees PMS as a unified set of strategies and assessment methods that link the organization’s plans with individual plans (National Association of Head Teachers (NAHT), 1991: 42) also describes PMS as a way of connecting employees and the duties to the plan and goals in an institution. The emphasis of the NAHT is that individual employees:

- Understand what the organization is attempting to achieve;
- Have clarity of what is required of them in their duties;
- Have the right to know how their progress through periodic feedback;
- Have sustainable support from their superiors; and
- Have the freedom to evaluate the entire performance achievements periodically.

2.3.2 PERFORMANCE MANAGEMENT SYSTEM (PMS)

Performance measurement (PM) and Performance Management Systems (PMS) are used interchangeably (Roos, 2009:19). Radnor and Lovell (2003:174) concur with Roos in their article wherein they state that “an abbreviation of PMS is used to merge performance management system and describe it as the information systems that is utilized to follow the execution of business strategies by collating the outcomes against the goals and objectives”. PMS or performance measurement is a continuous evaluation and accountability on achievements, specifically on progress. It is conventionally organized to program management. Performance measures may address the process, output and/ or outcomes (Arterly and Stroh, 2001; 3). A programme may be any prearranged plans for projects, functions or policy, e.g. waste control in municipalities.

Kanyane and Mabalane (2009: 59) define the concept PMS as an integrated, systematic approach to improve results of peoples’ efforts, i.e., the means of acknowledging and rewarding employees’ work through improved communication, learning and working.

Moorby (1991: 59) states that the PMS is a relatively recent approach that has been associated with approaches to performance related pay. The fundamental approach to establish, determine and encourage the use of the best management practices, is facilitating the annual monitoring of performance by establishing roles and performance standards. Moorby agrees with Kanyane and Mabelane (2009; 57) in that “the PMS is an integrated system to measure performance of institutions and that of personnel”. Performance measurement provides the information that will be gathered, scrutinized, reported, and eventually utilized for the purpose of decision-making (Arterly and Stroh 2001:1).

They (Artely and Stroh 2009;1) went further to say, “performance measurement does contribute to organizational existence as it controls the organizational function by giving grounds for budgetary expenditures, pushing progress towards determined goals, establishing areas that need strength and those that are weak, providing a continuous evaluation of the recent organizational environment and way to improve business”.

2.4. LEGISLATIVE OVERVIEW OF PERFORMANCE MANAGEMENT SYSTEM

Performance must concentrate on the protection and utilization of resources and stress efficiency and effectiveness of service delivery to the people. It must incorporate comprehensibly defined structure of monitoring performance (Kusi, 2004; 18). According to the Public Service Commission (PSC) (2007; 7) the enabling framework for managing performance in the public service is comprehensive because it includes primary and secondary legislation as well as resolutions passed at bargaining councils.

The framework is also aimed at ensuring that the performance management process is developmental and not punitive in nature as it is presently perceived. In the terms of Oliver (2008: 41), all public sector departments are commanded by prescript and legislative frameworks of the Department of Public Service and Administration (DPSA) in this regard. The following is the legislative framework that governs performance management:

2.4.1 THE CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA, Act 108 of 1996

Section 2 of the Constitution lays down that the fact that the Constitution is the highest law, of South Africa, any prescript or action conflicting with it is illegitimate and the obligation forced by it should be carried out.

Section 195 (b) of the Constitution states that there must be a promotion of the use of resources in an efficient, economic, and effective manner at all levels of government. It further states in Section 195(h) that “there must be an improvement of human resource management and career development practices so as to intensify human capabilities”. As a result the Constitution supports the PMS so as the public management to be effective in the use of resources (financial, human and physical resources) and should be made available and be harnessed to ensure they perform well to obtain the desired results (Mlambo , 2010: 54).

Other doctrines regulating public management stipulated in Chapter 10 of the Constitution include the following:

- professional ethics should be maintained and advanced to the highest standard;
- Service must be delivered in a neutral manner, without prejudice and without biasness;
- Public administration should be broadly representative of the management actions that derived from expertise, impartiality, fairness and an urge to address the past imbalances to accomplish broad representation (Constitution of SA, 1996:107).

2.4.2 LABOUR RELATIONS Act, No. 66 of 1995

The Code of Good Practice from Labour Relations Act (LRA) of 1995, under “dismissal”, stresses regulations on the management of poor performance and issue lawful foundation for the execution of performance management as it states that “Should all ways of correcting poor performance be exhausted it will be fair and appropriate for employers to appeal to an employee to execute incapacity procedures as stated in the LRA” (Mlambo, 2010: 56). The labour unions’ representative should be involved on a limited capacity in the process of performance management (Oliver, 2010: 58).

2.4.3 The SKILLS DEVELOPMENT Act 97 of 1998

This Act commands that at least one percent of the payroll be budgeted for training and development of workers within organizations. This endeavor is linked to individual development as the prerequisite of performance management. For sustainable competitiveness, there should be means to develop the skills of employees as part of personal development plan. This serves as an essential aspect of performance management (Mlambo, 2010:58).

2.4.4 WHITE PAPER ON TRANSFORMING PUBLIC SERVICE DELIVERY (THE BATHO-PELE PRINCIPLES) 1997 (WPTPSD)

The Batho-Pele White Paper (1997) offers a technique to enhance the values and culture of customer service that is accountable to the needs of the public. This will be achieved through commitment based on the principles of Batho-Pele developed as prescripts and directives of service delivery. The Batho-Pele principle is committed to a citizen-centered approach to service delivery. These principles include:

“Consultation: citizens should be consulted about the level and quality of the public service they receive and, wherever possible, should be given a choice about the services that are offered.

Service standard: citizens should be told what level and quality of public services they will receive so that they know what to 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 should be given full, accurate information about the public services they are entitled to receive.

Openness and transparency: citizens should be told how national and provincial departments are run, how must they cost, and who is in charge.

Redress: apology and full explanation and effective corrections should be offered if promised quality of service is not delivered. Sympathetic and positive response should be given to citizens when complaining.

Value for money: Public services should be offered in an economically and efficiently in order to give citizens the best possible value for money” (WPTPSD, 1997; 15).

Van Der Waladt (2004; 90) states that “the Batho-Pele is not an event or project undertaking, but rather an on-going effort to deliver services to people through putting them first. This includes the following categories:

- (i) An effort to rebuild and advance the back-office administrations of the Public Service
- (ii) An effort trying to rebuild and advance the front office administration of government
- (iii) An effort trying to advance internal communication
- (iv) An effort concentrating on external communications.

2.4.5 PUBLIC SERVICE ACT 103 of 1994

The Public Service Act demands that performance should be controlled and administered in a consultative, supportive and impartially by state departments. This will boost the use of resources and accomplishment of results in an effective, economic and accountable manner (Van der Walt, 2004:93). Terms and conditions of employment in the public service are controlled by this Act and also give powers to the executive authority to manage performance of employees.

2.4.6 PUBLIC SERVICE COMMISSION (PSC)

PSC is an only organization set up in the prescripts of Chapter 10 of the Constitution. According to section 196 (4) of the Constitution, the activities and the potential capacities of the PSC are among others to:

- encourage ethics and doctrines as laid down in section 195, through the public service;
- suggest initiatives to establish performance which is effective and efficient within the public service;
- give feedback on the performance of its operations as well as recommendations to ensure that the values and principles laid down in section 195 are aligned with.

The following are the six performance areas of PSC operations:

- Labour Relations Improvements;
- Leadership and Human Resource Reviews;
- Governance Monitoring;
- Service Delivery and Compliance Evaluations;
- Public Administration Investigations and;
- Professional Ethics.

According to Oliver (2008: 44) the PSC continuously deliver assessments on how departments perform and provide recommendations to improve management and performance.

2.4.7. WHITE PAPER ON THE NEW EMPLOYMENT POLICY IN THE PUBLIC SERVICE, 2nd Draft 1997

The White Paper stipulates the bases for the structure of managing performance in the Public Service. Section 5 of the White Paper indicates that the effective and economic manner in which public servants execute their duties leads to the attainment of Public Service in providing its functional and developmental objectives. Regulating performance is an essential human resource management instrument to make sure that:

- Workers know what is required of them;
- Managers know whether the performance of employees meet the desired goals;
- Underperformance is identified and corrected and:
- Poor performance is identified and improved; and
- Outstanding performance is recognized and rewarded.

2.4.8 THE PUBLIC SERVICE REGULATION, GOVERNMENT NOTICE, No. 41 OF 2001 (as amended)

Chapter 1, Regulation VIII, Section A, stipulates that “all departments shall control or administer performance in a consultative, supportive and impartial manner. As a result utilize the resources of the organization in an effective, economical and accountable way. The basic position of performance management is developmental and aims at improving underperformance and identifies areas of good performance. The approach of performance management is to lessen the administrative responsibility of supervisors while keeping with openness and administrative justice”.

2.5. THE STRATEGIC FRAMEWORK FOR PERFORMANCE MANAGEMENT SYSTEM

According to Letsoalo (2007; 26) the PM process must demonstrate a parity between outcomes and presentation of “right stuff” that could bring the organizational success. It should depend upon having both appropriate technical and procedural practices and supportive cultural and attitudinal characteristics within an organization (Isaac-Henry *et al*, 1997:87).

Determining and weighing organization’s performance must be done on the robust framework of performance and this could be done by adopting a strategic- management perspective (Isaac-Henry *et al*, 1997-88). “An integrated strategic focus in an organization develops a systematic performance framework which encourages and facilitates organizational development and structured methods of solving problems rather than organizational control (Isaac-Henry *et al*,1997:88).”

The following is a useful strategic framework which sets out the standard strategic model.

Fig 2.1 Performance management strategic framework

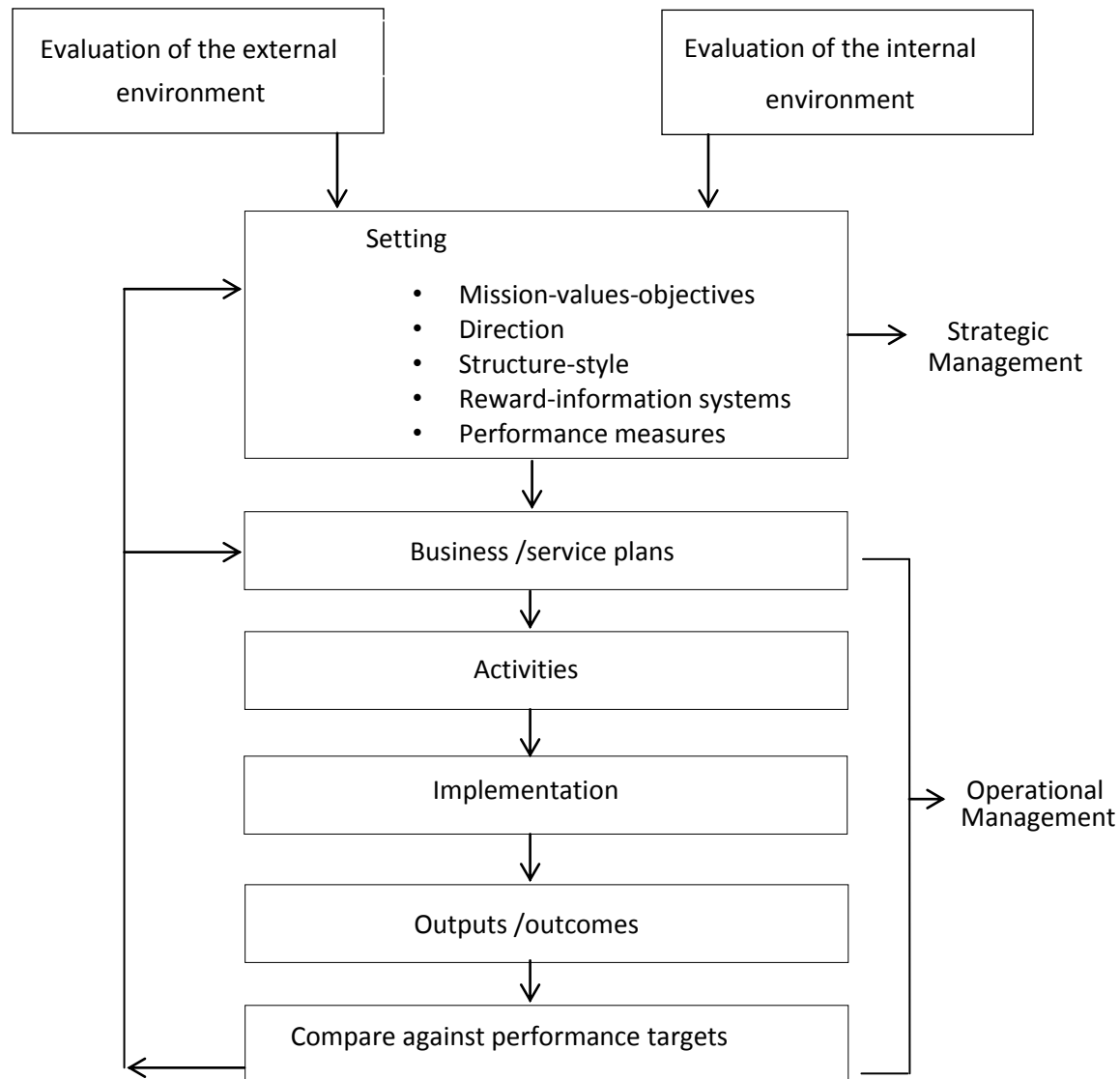


Figure 2.1 Performance in a strategic framework (source: Peter Jackson (1993))

Isaac-Henry et al (1997:87) further break systematic performance framework as follows.

- a method whereby managers, at all ranks, have comprehensible goals, derived from organizational mission, expressed as precisely and unambiguously as possible;
- Emphasis is upon outputs and outcomes in terms of specified objectives, as opposed to simply projects attempted by the organization;
- Goals are established in accordance with targets and 'measurable' indicators to monitor performance and compare it other potential organizations (benchmarking);

- Each person should be aware of what is required of him or her and is accountable for specific outcomes and such outcomes should be continuously attainable;
- Supportive techniques such as suitable information management systems and organizational culture must be improved.

2.6 PERFORMANCE MANAGEMENT MODELS

Organizations are offered the prerequisites that can be utilized as a foundation for the upliftment of their personalized PMS (Moody, 2003:13)

The following three performance management models will be briefly discussed in this chapter:

- The Three E's model;
- The Excellence model and
- The Balanced Scorecard.

2.6.1 THE THREE E's MODEL: ECONOMY, EFFICIENCY AND EFFECTIVENESS

Van der Waldt (2004:179) and the Department of Provincial and Local Government (DPLG) (2002: 69) maintain that "E's model measures economy, efficiency and effectiveness and their connection with inputs, outputs and outcomes may be explained as follow:

Economy, which implies costs incurred by inputs that were utilized to create outputs (what resources did we use to achieve these results? Thus, the cost of the inputs is important here);

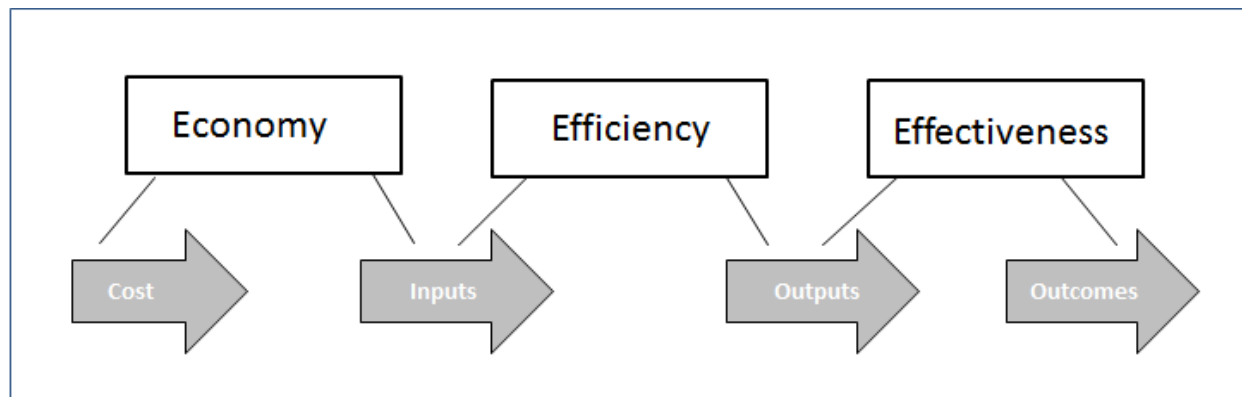
Efficiency, it refers to cost incurred by inputs utilized per unit of output (are the resources used efficiently to achieve the outputs? Can we use fewer resources to achieve the same outputs? The relationship between the inputs and outputs is important for this question);

Effectiveness, clarifies the scope to which outputs (service) are successful in obtaining the desired goals (Do the outputs lead to the effective achievement of the outcome? If the outputs improve will the outcomes improve? Managers need to understand the link between outputs and outcomes".

Van der Waldt (2004: 179) further states that "these three features are useful elements which are depending on each other to assess performance and service delivery. In particular they are used to evaluate the use resource in an economical manner. Therefore they are part of planning and budgeting in an effort to accomplish the departmental strategic objectives and service delivery."

According to Du Plessis (2005:51), this model also facilitates the integration of the planning and management as well as the diagnosis of causes of poor performance. These concepts would make objective and reliable measurement possible and could help management to assess whether they are doing things right as well as doing the right things.

Figure 2.2 THE 3 E'S MODEL



Source: Van der Walddt: 2004: 180

According to Public Service Commission (PSC) (2002:14), the best practice guideline to 3-E's for service delivery should be developed in order to outline the process to be followed in planning, budgeting, performance management and programme assessment and reporting as well as to clarify how different units should be incorporated to promote value for money and evaluations of other state organs.

2.6.2 THE EXCELLENCE MODEL

Van der Walddt (2004:185) describes the Excellence Model as “a generic plan that can be used as a guide in all institutions to promote a culture of ‘performance excellence’ by predicting behavior and performance outcomes of an organization which are-“**cause**” (organizational goals) and “**effect**”(resulting performance)”.

Du Plessis (2005:52) asserts that the Excellence Model should be viewed as holistic and highly integrated, and further that the relationship between the different performance dimensions are explicit in that they have been designed to provide a mechanism for identifying problem areas. According to Moodley (2003:54), “excellence model is founded on the bases of complete gratification of the customer, the effect that it brings to the society and the performance of suppliers and that of partnership with stakeholders, which are accomplished by leadership driven by policy and strategy and management of employees, resources and information which prompt excellence in business outcomes”.

The DPLG (2002:70,72) states that “the assumptions for Excellence Model are that, for effective performance, we need to manage the entire system and not just the results as well as to involve proposals about what is necessary to ensure effective performance and ultimately, what should be managed. Management must divide the system into ‘**enablers**’ and ‘**results**’ so that achievement against objectives, indicators and targets for each can be quantified to provide overall performance. **Enablers** (the things that enable effective performance in organization) on one hand, include in the public sector; regulations and governance, strategic plans, leadership, resources, processes and human resources. **Results** (the things we expect to achieve), on the other hand, include resource results, efficiency results, people results, service reporting, service outputs and service satisfaction”.

Figure2.3: The South African Excellence Model

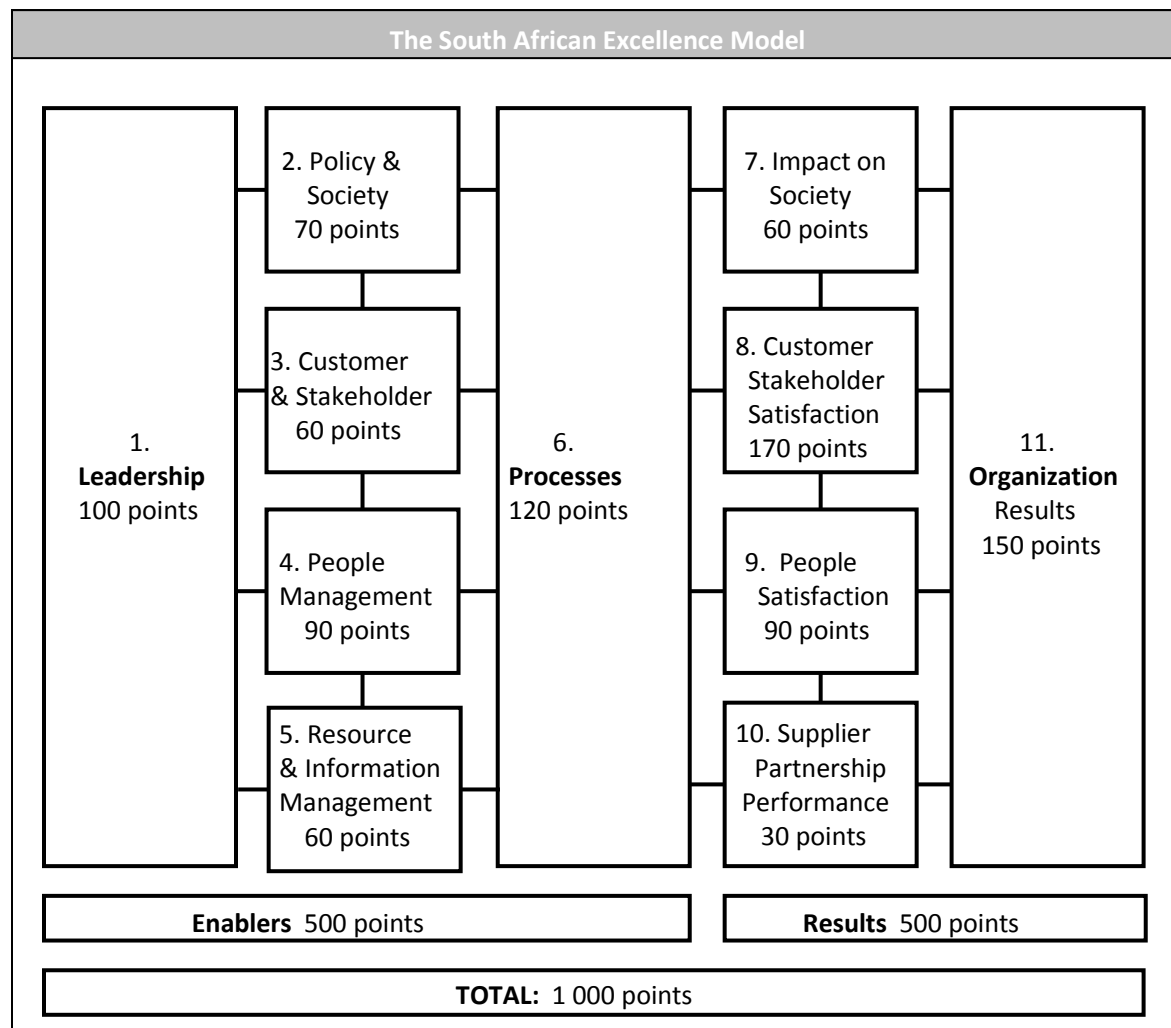


Figure 2.3 Van der waldt (2004: 184)

Public managers could use the Excellence model as a starting point to improve efficiencies in their departments as it affords them a chance to assess observable facts to decide what leads to the accomplishment of business and service (Van der Waldt, 2004:185). Van der Waldt (2004:186), further adds that this model also enables a public institution to do the following:

- “Identify its strengths;
- Identify development areas;
- Set plans for improving and;
- Repeat the process”.

Table 2.1: The criteria for performance Excellence

Criteria	Aspects to measure
Leadership	The behavior and actions of the executive team and how they inspire, support and promote a culture of performance excellence
Policy and Strategy	How the organization formulates, reviews and turns policy and strategy into plans and actions
Costumer Focus	How the organization determines costumer requirements and expectation, enhances relationship with the costumers, and determines their satisfaction
People Management	Whether or not the organization realizes that its most valued assets are its employees and how it utilities them. Whether it allows for the creativity to unfold and its employees and perform to excellence.
Resources and Information Management	Employees become effective and resourceful when they have knowledge at their disposal
Processes	How to organization identifies, manages, reviews and improves its process.
Impact on Society	Whether or not the organization takes the needs of the communities around it into account (social involvement)
Customer Satisfaction	What the organization does to satisfy its customers.
People Satisfaction	Whether or not organizations realize that satisfied employees result in satisfied customer
Supplier and Partnership Performance	What the organization is doing with regards to managing its suppliers
Results	Whether or not the organization is achieving its planned objectives and satisfying other stakeholders

Van der Waldt (2004: 185-186)

Van der Waladt (2004: 186) observes that the criteria outlined in Table 2.1 above can be complex and difficult to understand. This is because it emphasizes outputs more than outcomes (as the latter is reduced to levels of satisfaction of various stakeholders). Another reason could be that the quantitative orientation, as implied in the criteria, can be limiting and mechanical thereby reducing impact on learning and improvement”.

Du Plessis (2005: 52) and DPLG (2002: 84) concur with Van der Waladt as they also observe that the criteria can be complex and difficult to understand. According to both Du Plessis (2005:52) and DPLG (2002:84) the difficulties and complexities of the criteria are as a result of the following factors:

- the emphasis is on outputs than outcomes (as the latter is reduced to levels of satisfaction of various stakeholders);
- the quantitative orientation can be limiting and mechanical, reducing impact on learning and improvement; and
- the primary drivers of performance are competition with other organizations that use the same criteria.

Moodley (2003:57) acknowledges the fact that the excellence model could have the following challenges:

- “it will be difficult to cascade the excellence model to different directorates and the model does not sufficiently measure outcomes as opposed to outputs, other than general stakeholders satisfaction;
- The organization may be able to assess whether it is doing things right, but it would be difficult to assess whether it is doing the right things; and
- Municipalities will not be able to link their integrated development plans (IDP) to performance management systems”.

2.6.3 THE BALANCED SCORECARD (BSC)

Kaplan and Norton (1996:25) define the BSC as “a collection of yardsticks that could give a public manager a quick and an understandable outlook of his or her department’s performance as it includes both process and outcome measures”.

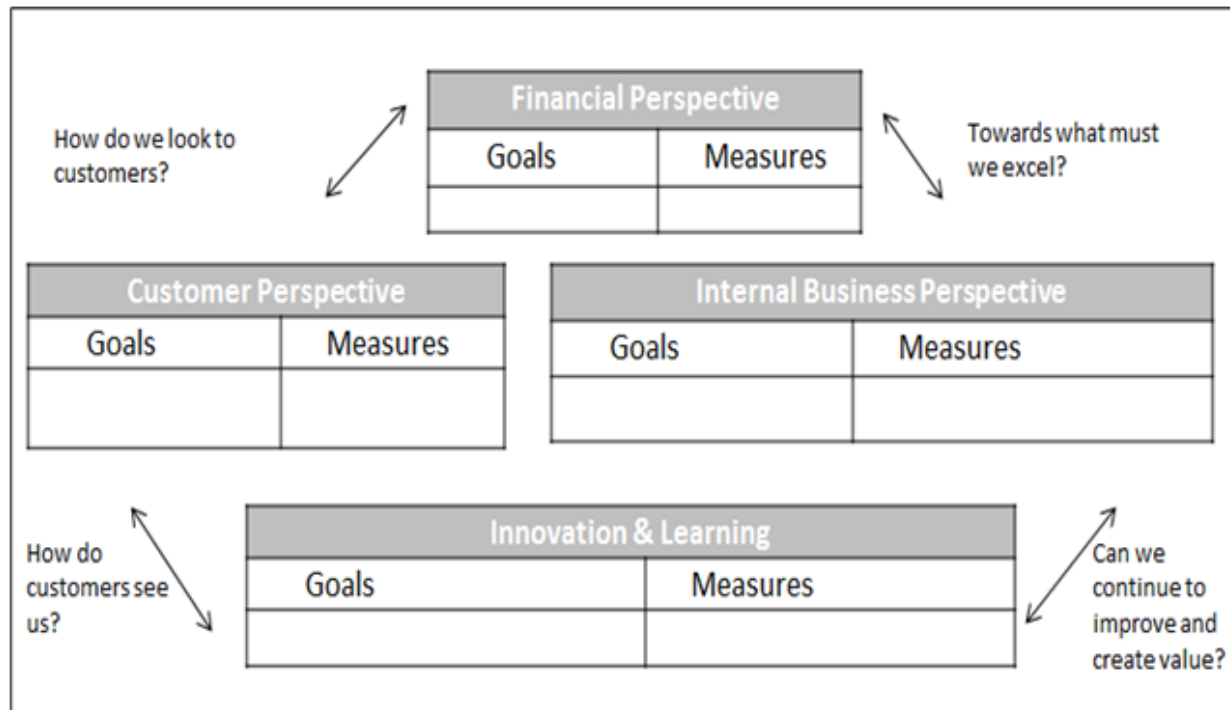
Drury (2004:1001) defines the balanced scorecard as an “incorporated set of performance measures that comes from an organization’s strategic plan which allows management to have a quick and clear outlook of the organization’s different units”.

According to Kaplan and Norton (1996:25) organizations are moving away from the traditional focus of looking into financial measures only and are moving towards a more

balanced look into financial and non-financial measures of performance. This is obtained through means and communication as well as through informing and learning system. Managers should be capable to judge performance in different areas concurrently as it is valuable information of a balanced scorecard (Van der Walddt, 2004:188).

Du Plessis (2005:55), Drury (2004:1002) and Horngren *et al*, (2003:447) concur with each other as they state that “performance managers should use the BSC approach to translate the organizational vision and strategy into simple performance measures that can easily be understood by the different goals. These measures include both financial and non-financial as what gets measured, gets managed. The BSC provides a set of measures that addresses several important aspects regarding the organization and it gives a comprehensive top down view of the organizations performance”

Figure 2.4: The balance scorecard



Source: Van der walddt, (2004:188)

According to Van der Walddt (2004:188), “it is suggested that the public managers collect data from four essential perspectives;

(i) The costumers’ perspective - Public managers must know whether their programmes and projects are meeting customer needs. They must determine the answer to the question: ‘how do customers see us?’

(ii) The internal business perspective - Public managers need to focus on those critical internal operations that enable from to satisfy customer needs. They must answer the question, 'what must we excel at?'

(iii) The innovation and learning perspective - A policy programme or project and its host organizations ability to innovate, improve and learn tie in directly which its value as an answer the questions, "Can continue to improve and create value for our services?"

(iv)The financial perspective - In the private sector, these measures typically focus on profit and market share. For the South African public sector, financial measures could include the results oriented measures required by the Public Financial Management Act 1 of 1999 (Van der Waladt, 2004: 188)"

Botten and Sims (2004:423) see the BSC as a model to improve strategic performance in various ways as it seeks to achieve the following:

1. To enable outside stakeholders to form a full impression of the value of the organization, they may have access to BSC measures a special version for customers and investors may be a good idea;
2. To ensure that the strategy is followed, regular information on the company's overall attainments against BSC measures must be sent to senior management;
3. To help individuals and divisions moderate their own performance, they should receive regular reports of their own performance against the BSC measures in the same area of work, and
4. Divisions and individuals will be more aware of how their work fits in with the strategy of the business through the process of developing activity measures.

2.6.3.1 The advantages of the BSC

Du Plessis (2005: 70), Horngren et al (2003: 453), Botten and Sims (2004: 424) provide the following advantages of the BSC:

- It is a simple and accessible model for performance based on priority areas for attention in each of the four perspectives;
- It combines operational and financial measures; It minimizes reliance on single measures;
- It increases accountability. Goals are integrated into the evaluation process and accountability is linked to compensation;
- It is holistic and multi-perspective measures of performance;
- It combines functional and financial measures and;
- It cuts other measures and identifies the most important ones that most affect the implementation of strategy.

2.6.3.2 Challenges of BSC during implementation

Du Plessis (2005: 70), Horngren et al (2003: 453), Botten and Sims (2004: 424) state the following as the challenges of the BCS during implementation:

- It is difficult to evaluate the relative importance of different measures;
- There is no clear relation between the BSC and shareholder value;
- The linkage between the four perspectives are not always precise;
- Subjective measures, such as satisfaction ratings are often left behind;
- the time and expense necessary for designing and maintaining the organizations BCS are significant; and
- Non-financial measures, are often ignored when evaluating employees' performance.

Du Plessis (2005:75) states that “well-balanced scorecard aims to combine outcome measure with performance drivers. Therefore, it is essential that the scorecard is regarded as a way to signal anticipated outcomes not only as just a way to record outcomes”.

2.7 PERFORMANCE MANAGEMENT STEPS

Van der Walddt (2004:288) describes steps that are essential the successful implementation of performance management in the organization as follows:

2.7.1 Select the process and build support

The first step is to choose the process to benchmarks and establish support from both upper and middle management in order to gain appropriate resources and to foster the spirit of participation required in an effective benchmarking initiative. Selecting the process means determining which processes are important to the objectives of the organization and whether instrument such as benchmarking is to determine the efficiency of the process. In this initial step, it is important to develop an action plan to focus efforts and keep information organized.

2.7.2 Determine the current performance

Before benchmarking your institution against others to discover how they achieve high levels of service excellence or performance, you must understand your own performance. An initial self-assessment should include questions such as “did activities of assessment merely been done and whether inefficiencies have been targeted”. Process mapping will facilitate thorough understanding of any processes. It is imperative to record all the activities (inputs and outputs) of the process under study and ultimately to determine any key performance measures of the process.

2.7.3 Determine where performance should be

The first part of step three, determining the 'should be', is choosing potential benching partners. Benchmark partners are other public institutions, including your own, that are successfully executing the process (that is, service) being examined. Determining the 'should be' is where you begin to focus on examining the means from an external point of view, carrying secondary research to add on internal perspective and find out which criteria are important. This understanding will lead you to the most appropriate benchmark partners.

2.7.4 Determine the performance gap

Consider where you should be and subtract where you are, the difference is called a performance gap. The longer the performance gaps within organizations the higher the priority for their managers to narrow them. In this step, you must consider a host of issues and to try to analyze them logically, for an example, examine a process from a cost, quality, time and productivity, with the notion that where there is strength does not necessarily mean there is strength across the board.

For performance gaps to be useful they must be systematically determined, coordinated and classified. The implication is that the performance gaps must be credited to people, process, technology or cultural influence. In addition, each gap should be classified according to the order of its importance.

2.7.5 Design an action plan

There are several ways to ensure that your benchmarking efforts produce positive results. One way is to use objective-driven, accomplishable and informed action plans to plot ways of development. The guide of action plan must outline the entire strategic plan that describes individual steps as well as problems aimed to be tackled. The strategic plan should explain the sequence of steps to implementation; naming prerequisites and stipulations and assigning the correct time frame for implementation. The action should identify those accountable for execution and give account for rewards if their efforts are within the time limits.

2.7.6. Continuous improvement initiatives

Just as there is no end to learning and just as there is no such thing as accumulating enough knowledge, benchmarking is not an activity that you do only once. Rather, it is part of continuous effort that is important for organizations searching to obtain and retain competitive opportunities in the new economy. The secret to success is to monitor and measure business processes effectively and efficiently in a sustainable manner. One way to establish whether an institution confronts its challenges is through using benchmarking as an instrument”.

2.8 THE CYCLES OF THE ORGANIZATIONAL PERFORMANCE MANAGEMENT

PROCESS

According to Nel, Werner, Haasbroek, Poisat, Sono, and Schultz, (2008: 494) the performance management process has four important categories that have the tendency to overlap. Such categories are;

- performance planning;
- performance coaching and monitoring;
- performance management and evaluation, and
- performance feedback and documentation.

2.8.1 PERFORMANCE PLANNING

The step determines the direction, expectations, employee goals, assessor and techniques to be exploited during evaluation process and developing the strategic plan that will be used as a guidance of the process and clarify and communicate requirements and responsibilities. (Nel et al, 2008: 494).

Spangenberg (1994:52) states that performance planning which consist of mission, performance goals and objectives and proficiency that is related to work and supportive behaviors is termed 'contracting'. This term emphasizes the commitment to superior and employee to the goals and plans for the ensuring period, and reflects a psychological contract".

The performance planning includes the agreement between the manager and individual worker on what is expected of him/ her to obtain the goals, improve quality and competencies (Armstrong, 2006:507).

Armstrong (2006: 507) went further to state that performance planning establishes priorities that aim to guarantee that the goals, quality and competencies are understood".

Nel, Van Dyk, Haasbroek, Schultz, Sono and Werner, (2004: 476) provide the following steps as being key to the first stage of the performance management process:

- **Step1.** Manager and subordinate engage to discuss how strategic goals must be endorsed and modified by the department and the individual employees.
- **Step 2.** Manager and subordinate together make decisions on action plan to realize the individual's goals.
- **Step 3.** Manager and subordinate decide on when to monitor progress towards the goals.

- **Step 4.** Manager and subordinate decide on the type and the value that will be brought should the goals be accomplished”.

Should the outcomes of these steps be documented and signed by both parties, it will become a binding contract that motivates active participation of both the manager and the subordinate.

2.8.2 PERFORMANCE COACHING AND MONITORING

According to Sheppard, Canning, Mellon Anderson, Tuchisky, and Campbell, (2006:5) performance coaching would be done mainly by managers as they provide monitoring and coaching for the personnel to assist them to overcome specific issues which might affect their effectiveness and productivity.

At this stage, the manager will on temporary bases run checks on progress, investigate the reasons behind poor performance, and conduct coaching and monitoring of employees (Nel *et al*, 2008: 495).

During performance coaching and monitoring, the manager observes the performance of an employees, record their performance, and engage with them in discussing their progress (Department of Human Resource Development, 2001: 12).

According to Nel *et al* (2004: 477) “temporal progress checks and coaching meetings are essential features in the monitoring of the performance of individual employee. Employees are guided in improving standards and changing behavior through the coaching skills of the manager. Such coaching skills also inspire progress towards obtaining the organization’s goals”.

2.8.3 PERFORMANCE MEASUREMENT AND EVALUATION

According to Performance Management Unit (2008:20) measurement and evaluation of performance is a continuous process aimed at establishing whether set performance objectives are accomplished or not. It should therefore happen quarterly and annually to predict the nature of the final and future objectives.

2.8.3.1 Measuring and evaluating performance

Nel *et al*, (2008:496) argue that employee performance can be determined on the basis of relative or absolute evaluation. **Relative judgment** requires supervisors to weigh the performance of an individual to other employees with the same job description. **Absolute judgment** asks supervisors to conduct only on performance standards on employee’s performance.

2.8.3.2 The significance of performance measurement and evaluation.

According to Behn (2003: 587) performance measures provide for financial and human resource activities that are intended to bring improvement, execution and assessment of government programs. Behn, (2003: 587) further states that, “public managers can exploit performance measurement to assess, regulate, motivate, learn and develop”.

2.8.3.3. Methods of performance evaluation

Performance evaluation relies on person(s) entrusted to exercise evaluations and chosen techniques to measure performance (Nel et al 2004:478).

2.8.3.3.1 Who should evaluate performance?

The basic necessity of any ‘rater’ is that enough opportunity and time should be afforded for performance to be observed. This allows raters to have different choices. The following are “raters” for performance evaluation (Nel et al, 2004: 478):

- (i) The immediate supervisor
- (ii) Peers;
- (iii) Subordinates
- (iv) Self-appraisal
- (v) Customer appraisals
- (vi) 360 feedback.

2.8.3.3.2 Performance rating techniques

According to Nel at al, (2004: 481) rating techniques can be grouped into relative and absolute judgment. These are discussed below.

1. Relative rating technique

Nel et al, (2004:481) describes relative rating technique as follows;

“Forced ranking (peer ranking) is a method that categorizes employee performance from ‘best’ to ‘worst’”. Muchinsky (2012:28), states that “employees in the group appraise the performance of each other. There are three techniques of peer evaluations:

Peer nomination - wherein an individual member nominates the best member on the specific dimension of performance.

Peer rating – where in members rate each other in the group of performance dimensions.

Peer ranking - wherein an individual member grades all members from ‘best’ to ‘worst’ on one or more dimensions of performance”.

According to Nel *et al*, (2004:481) paired comparison is viewed as a method used to compare each employee against his or her peers in a chosen category. The final placement is established by the number each individual has evaluated to be the better than others”

2. Absolute rating technique

Nel *et al*, (2004:481-482) describes absolute rating technique as follows:

- Essay method:

Nel *et al*, (2004: 481-482) asserts that “this method needs the rater to report by way of an essay writing explaining the strengths and weaknesses of an employee. It wastes time and relies on writing skills of the rater and clear reporting”.

- Critical incidents:

Moorty (2012:1) describes this technique of appraisal as “is a type of appraisal where incidents of behavior (best or worst) are annually probed. These incidents are important in appraising the employees”.

- Forced choice:

The rater is given a chance to choose description that most fit the employee in a particular case from a list of paired jobs related descriptions (Nel *et al*, 2004:482).

- Graphic rating scales:

Employees are assessed on “how much” of the characteristics they have. The rater uses the point scale of 5- or 7-, even though there are different types of point scales (Muchinsky, 2012:28). Nel *et al*, (2004:482), sees graphic rating scale as “means of choosing different traits that relate to a particular job with an intention to develop. The rater uses scale’s continuum ranging from ‘strongly agree’ to ‘strongly disagree’”.

2.8.3.4 Raters errors

Nel *et al* (2004: 483) provide the following in terms of the raters’ errors: One should consider some issues when measuring performance of employees.

(i) Unclear standards

Most of the standards are defined in an unclear and inconsistent manner by raters. For an example ‘Good’, ‘average’ and ‘fair’ do not mean the same things to everyone.

(ii) Halo effect

It happens when one trait is rated and discriminate other traits that are supposed to be rated. For instance, an employee may do well in one area and be scored with an “overall satisfaction”, even though he/she did not bring any value to other areas that were agreed upon.

(iii) Lenience or strictness

Some managers evaluate the performance of employees in a lenient way and follow easy ways by scoring employees high. In some cases, some employees may be scored or rated high even if they do not deserve such a rating. However some do deserve high rating. Strictness happens if supervisors perceive that no one reached the desired standard. The above implies that managers should engage with individual employee and give advice with an intention to deal with the problem.

(iv) Recency

Recent incidents of an employee’s performance have a tendency to disturb raters by influencing managers’ outlook of individual performance.

(v) Central tendency

Raters have problems assessing individual employees at the extremes of the continuum (higher or lower) even though the performance shows visible differences. Eventually they rate employees as average leading to central tendency. This problem may happen if supervisors do not know the work of their subordinates or their supervising abilities are below par. Another problem could be that supervisors fear to get into trouble for rating “to leniently or too strict”.

(vi) Bias

Age, gender, race, or seniority of the employees may be factors that can lead to supervisory bias. Biasness or partiality may be intentional or unintentional hence it is difficult to defeat. Supervisors should be counseled to be aware of this problem. In short, performance evaluation can be improved by training and developing proper appraisal systems. Many rater errors can be dealt with in this way.

2.8.4 PERFORMANCE FEEDBACK AND DOCUMENTATION

2.8.4.1 Performance feedback interview

The appraisal interview should be seen as the mode for evaluation and (Nel et al, 2008:503). Performance feedback interviews focus on reviewing goals and goal attainment as well as reviewing performance against role expectations and

competencies (Bourne, 2001:68). Setting aside time to more formally provide employees with feedback on performance and to plan goals and development for the next year is a critical part of the cycle (Bourne and Neely, 2000).

According to Thorndike's law of effect (1927:68), people have the tendency to repeat the same deeds as a gesture of motivation if they receive positive feedback for their behavior. They are demotivated to repeat the same again if they receive negative feedback and maybe consider other avenues. This law has attracted managers and researchers because of its practicality.

London and Sessa (2006:308) trust that there are four performance feedback ways to encourage organizations and employees to develop: **(a)** feedback assists organizations to control actions to obtain their objectives, **(b)** it assists managers and employees to evaluate and react to outside effect, **(c)** it encourages organization's development and dependence among employees and managers, **(d)** assists everybody in the organization to have a shared idea of the organization's identity and intent.

It is for these reasons (Nel *et al*, 2008:503) that the raters should communicate frequently with employees about their performance and should get proper training in performance appraisal interview. Nel *et al*, 2008:503) went further to say, "raters should prepare to execute a problem-solving method unlike the 'tell and sell' method and also encourage subordinates to prepare for the interview." Simple, clear and understandable language must be used when delivering feedback to afford the employees an opportunity to respond (Nel *et al*, 2004:486).

2.8.4.2 Legal imperatives

Nel *et al*, (2004:485) describe legal discriminations in performance management as follows:

"Human resources experts should pay attention on how performance programmes are executed. Dismissal because of poor performance is valid as stipulated by LRA, No, 55 of 1995, and the process should be valid in terms of the Employment Equity Act, No 55 of 1998, to avoid legal actions". Nel *et al* (2004:485) further suggest several guidelines that will help protect an organization from legal difficulties in performance management. The following are amongst the few:

- Documented appraisals must be run at all the ranks of the organization and must not be changed later.
- All raters should be trained and developed in assessment procedures
- Standards must be relevant to the job, regular, straightforward and job-related and must be consistent, explicit, and objectives.

2.8.4.3 Documentation

Documenting work performance is an integral part of the evaluation process. It helps to record and retrieve all the information that took place over the period of appraisal that relates to an individual performance (Department of Human Resource Development (HRD), 2001:529). It is therefore important to keep ongoing performance documentation for all employees that are accurate, job related and consistent (HRD, 2001:529). Reviewing documents should entail analyzing all appropriate documentation for the appraisal period, including recommendations; record obtained received superiors about their lower ranking employees as well as the minutes of their meeting.

2.9. CHAPTER SUMMARY

In this chapter focus was on the international perspective on efficient performance management. The significance of the PM and PMS; definition of the PM and PMS; the legislative framework of the PMS; performance models; performance management steps; and the cycle of organizational performance processes were also discussed. The most compelling factor is to motivate performance by assisting individual employees to improve their skills, building a performance culture, determining the prospects for promotion and helping to implement business strategies for an organization. The following chapter will deal more with the theoretical exposition on municipal performance management.

CHAPTER 3

THEORETICAL EXPOSITION ON MUNICIPAL PERFORMANCE MANAGEMENT

3.1 INTRODUCTION

South Africa is still going through the effects of destitution, poor development, and unfair access to basic services and infrastructure backlog (Mogale city, 2004:4). Chapter 7 of the Constitution of RSA, 1996 prompted the necessity to reinforce the development of PMS and determine the targets and developmental duties exclusively for municipalities (Pro-Active Management Services, 2008:01). The government also established the need to determine policy regulation on PM process of municipalities (eThekweni Municipality, 2008:10).

As the matter of fact, the Municipal Planning and Performance Management Regulation (2001: 09) stipulates that “PMS of an individual municipality contains guidelines that explain and illustrate how municipality’s performance cycles and processes will be carried, organized and regulated as well as stating the roles of various stakeholders”.

This chapter will define the PM and describe the legislative requirements of PM in the context of municipalities. It will also highlight the objectives of PM. The existing performance models will be discussed, more especially, the ideal model. The performance management cycle, the IDP and PM, role-players’ duties, evaluation of performance measures and relevant issues of PM will form part of this chapter as they be highlighted, discussed and analyzed.

3.2 DEFINITIONS OF PERFORMANCE MANAGEMENT AND MEASUREMENT

O’Donnell and Duffy (2002:1201) define performance management as measurement of results through economic and effective utilization of resources. According to Fakier (2012: 20) the focus of performance management activities at municipal level is the ability to reorganize and form relationship between measurements and outcomes as a way to the development of the organization’s performance.

Pollit *et al*, (2012:12) define PM as having “three important elements”, namely;

- (i) administration’s performance audit
- (ii) audit of resources
- (iii) audit of the organizations’ strategic objectives

Ammons (2001: 08) defines performance management as a means whereby employees are held accountable for their contribution to the operational goals of the organization and where these contributions are measured impartially. Further objectives and needs are based upon the results of this information. The results must improve the quality of services rendered, encourage a culture of performance, and must be in line with members' needs and wants (Du Plessis, 2005:11).

Curtis (1999:263) defines PM as "the management strategy which harnesses the endeavors of each manager and individual employee to an organization's goals". Therefore the implication is that the PM does not solely focus on the organization but to individual employees and external stakeholders and the municipal organizations (eThekweni Municipality: 2008:10).

3.3 LEGISLATIVE REQUIREMENTS

The legislation regulating PM include municipal processes, structures, organizational development, code of good practice and guidelines of accountabilities to other tiers of government (Fakier, 2012: 48). As the result, the framework for the PM is guided by the subsequent policy and regulations.

3.3.1 The Constitution of South Africa, Act 108 of 1996

The Constitution of RSA introduced the concept of developmental local government in the country. Section 157 (a) of the Constitution lays down that all municipalities should design and regulate their administration, budgeting and planning processes with the intention to provide services to the community and encourage social and economic improvement. The developmental municipal system requires to have its plans executed not only created to achieve desired goals. Planning is a process where which its efficiency and effectiveness is evaluated by PMS.

Section 152(1) of the Constitution stipulates the goals and objectives of the municipality to:

- "bring democratic and accountable government to municipalities;
- emphasize the sustainable service delivery to local citizens;
- uplift social and economic development;
- encourage a sound economic development; and
- stimulates local public participation".

The above Key Performance Areas (KPA's) serve as a model that leads to the creation of municipal performance objectives.

Section 160 (1) (a) and (b) entrust municipal council with duties of employing the personnel and exercising performance management activities in an effective manner with an aim of achieving the desired goals (Fakier, 2012: 50).

Organizational performance is an overall outcome of every corner of organizational functions. It is with this regard that municipalities are measured against their outputs and outcomes (Fakier, 2012: 49).

3.3.2. Municipal Systems Act 32 of 2000

Section 38 of the Municipal system Act, as amended requires that a municipal must:

(a) “Determine a PMS that is:

- (i) proportional with its resources
- (ii) best adapted to its situation; and
- (iii) that is within the ambits of IDP

(b) Encourage a philosophy of performance management within its political structures and its administration; and

(c) Manage its matters in an economical, effective and accountable manner”.

According to Section 39 and 40 of the Municipal Systems Act, the executive committee must regulate and improve the progress of the municipality’s PMS, delegate performance management duties to managers and demands that a municipality must develop effective means to evaluate PMS.

To add on, Section 34 of the Municipal Systems Act, the IDP has to be reviewed on an annual basis and that during such a review process the KPAs, KPIs and KPTs should also be reviewed. This should also form a foundation for the PMS review and performance contracts of senior managers.

Section 42 of the Municipal Systems Act stipulates that “the participation of local citizens in the development, execution, and assessment of the municipality’s PMS is essential as well as their involvement in the settingup of correct measures and targets”.

3.3.3 Municipal Finance Management Act (MFMA) No. 56 of 2003

MFMA carry different provision related to municipal performance management. The MFMA aims at legally controlling the financial management of public manager at municipal level in an “efficient and effective” manner (Fakier, 2012: 54). The foundation for financial accountability on municipal performance is mentioned in this Act. Essential starting points for financial reporting on municipal performance are contained in the MFMA.

The (MFMA) interrelates the financial management, PM and the IDP in terms of the following sections: Section 17 and 24 states that, “when annual budget is presented in a Council with the purpose of being approved must go along with performance objectives for revenue from each department in the budget, and be within the parameters of IDP. The annual budget should be endorsed jointly with the approval of determinants accepting performance objections.

Section 72 specifies that performance assessment should be conducted in January of each year and mid-year budget must be done.

According to MFMA section 166 (1), there should be internal audit committee and performance audit unit for a municipality. The internal auditing should not only focus on financial matters but also on the municipalities’ performance auditing in a carefully regulated way (Fakier, 2012: 60).

Section 53 of the MFMA demands that municipality’s service delivery targets and performance indicators must be used with annually adopted Service Delivery and Budget Implementation (SDBI). As much as the municipal council approves annual budget, it should position performance targets of each revenue source and departments.

3.3.4. The Batho Pele White Paper (1998)

The Mogale City Local Municipality provide the following in terms of the Batho Pele White Paper: “the most fundamental outlook of performance management in municipalities is the relationship with the local community as customers. This White Paper provides the culture of customer service that accounts to the demands of the local residents, business and “end-users” of municipal services. To make it possible, everyone in public service should be highly committed to their duties.

According to DPLG (2001:05), “the Batho Pele White Paper calls for active public participation and continuous feedback from the community with an intention to improve service delivery. Local partners such as non-government organization (NGO) and local business should take part in building the culture of excellence service delivery by foran example; seeking and issuing out information pertaining to particular services or determine service gaps and administering a “customer survey”.

3.3.5. The White Paper on Local Government (1998)

This Paper advocates the development of PMS with an aim to:

- make achievable planning;
- Afford municipalities to evaluate the effect of the administrative reorganization methods and development plans; and

- Facilitate local government accountability.

The White Paper also promotes and approves the determination of performance management activities as it allows for fundamental principles for such activity be implemented, which are:

- (i) To ascertain that plans are executed
 - (ii) Setting down measures KPI's
 - (iii) Public participation in determining KPIs
 - (iv) Determining monitoring indicators
 - (v) Deliberations of the goals and unique situations of local municipalities.
- (Fakier, 2012:52).

KPIs have “efficiency measures and human development indices” but unique to individual municipality. In the provisions of the White Paper on Local Government, key performance indicators can provide valuable information as they assess value-for-money in service delivery which gives guidelines for reconstructing the municipalities. Economic and quality measures allow municipalities to set targets for sustainable development of operations, to prioritize areas that need change and evaluate the transformation programmes.

IDP, budgeting and PM are instruments that can aid municipalities to create an integral view of development in a given locality. It will afford them an opportunity to concentrate on important needs with different demands. It will make them control and focus on the allocation of resources and organizational operations to the new group of objectives. The White Paper, continues to states that, “municipalities should use resources in a responsible manner and that, users of such resources benefit from them”.

3.3.6. Municipal Structures Act, No. 117 of 1998

The Act forms the foundation of the institutionalization of performance management as it explains the structures, functions, objectives and responsibilities of the municipal council in performance management.

Section 44 of the Act provides for the powers of the Executive Committee of the Council and their responsibilities to:

- (i) Assess the of the municipality's performance with the intention to develop its efficiency, effectiveness and economy;
- (ii) Monitoring and evaluate progress against KPIs, and
- (iii) Publish the scope of public participation in the matters of the municipality.

3.3.7 Municipal Planning and Performance Management Regulations, 2001

Section 7 (1) of the regulation states that PMS of the municipality contains a guideline that explains and represents the way municipality's cycles and PM processes will be conducted and managed as well as determining various role-players.

Section 7 (2) of the Regulations provide that, in developing its PMS, a municipality must make sure that the system:

- (i) comply with all the demands of the Act;
- (ii) Illustrates how the PMS process will function from the planning stage to reporting stage;
- (iii) Establish ways of regulating the frequency of reporting and the ways of answerability for performance;
- (iv) Report PM processes of employees.

According to Fakier, (2012: 61) municipalities must execute the "planning regulations" that relates to strategic objectives in terms of inputs, outputs and outcomes.

Under monitoring, measurement and review of performance, section 13 (1) demands that municipality must develop and execute means for monitoring, evaluation and review performance against KPIs and performance targets set by it.

In terms to the legislative prescripts and good business practices, municipalities have to develop and execute a performance system with the objectives to direct and regulate the performance of both the municipality and individual employees (Bufallo City Metropolitan Municipality (BCMM), 2011: 170).

3.4. OBJECTIVES OF PERFORMANCE MANAGEMENT SYSTEMS

Municipality's PMS is an essential means to track, evaluate and develop the execution of its IDP and to measure the process made in accomplishing the goals as laid down in the IDP (MCLM, 2004:12). The Pro-Active Management Services (2008:08) provide the following objectives of PMS:

- To aid employees to develop their present performance and productivity;
- To evaluate the training and capacity of the employees and use them to guide the Workplace Skills Plan;
- To ensure work performance relates to the overall goals of the municipalities as informed by IDP;
- To point out under performance and tackle it by providing effective counseling, support and motivation that will benefit both the employee and the entire municipality

According to eThekweni Municipality (2008:11), the objectives of the PMS are to:

- Convert the vision, mission and IDP of municipality into comprehensible outcomes, indicators and performance levels that are shared by the municipality, customers and stakeholders.
- To ascertain that plans and programmes are executed.

The objective of performance management is to monitor priorities as identified in the municipality's IDP, which ultimately aims to increase the overall delivery standards of local authorities. The rationale behind this is to ensure that service delivery becomes increasingly more output-based, with the emphasis on increasing accountability of municipalities to the various community needs (Jansen, 2003: 102). This expectations of the local community that all municipal resources should be utilized economically in delivering the best public service, together with the fact that municipalities have the duty of ensuring that the programmes, as identified meet their state objectives (Moodley, 2003:30).

In terms of MCLM (2004: 12) the strategy of PMS process should include the objectives that the municipalities should achieve:

- Promote accountability
- Promote learning and improvement
- Provide early warning signals
- Promote decision- making

3.5 THE PERFORMANCE MANAGEMENT MODELS AT MUNICIPAL LEVEL

A performance model is defined by Zulu (2006:04) as “the classification of indicators into categories as a mechanism to improve the organization's ability to manage and explore its performance”.

There is a notion that successful execution of performance management needs a “performance management implementation model” that will help in providing guidance on how to effectively implement performance management (Ngcelwane, 2008:30).

According to Moodley (2003:47), a model for performance measurement is a central component of any PMS. Such a system should be able to address the questions which follow:

- How do we manage performance?
- What do we measure about performance?

It is possible to arrive to a set of principles and criteria by which to evaluate prospective models as the requirements of South African local government model for performance management (Moodley, 2003: 50). Palmer Development Group (2001) recommends a set of principles and criteria for a good model for performance management in South African local government. They recommend a set of principles and criteria that are central in informing a critical evaluation of available models. The principles and criteria are depicted below:

Table 3.1 Principles and criteria for good local government model

Principles	Criteria
1. Simplicity	Is the model simple and accessible to all potential users?
2. Relevance	▪ Is the model and its categorization of performance areas relevant to local government in South Africa and relevant to the lives of citizens in municipal areas? ▪ Does the model capture the long-term vision and development outcomes of the IDP? ▪ Does it accommodate the service delivery strategies and priorities of the IDP? ▪ Does it capture the institutional transformation, resource management and financial management priorities of the municipality
3. Objectivity and Reliability	Does the Model rely on objective and reliable measures?
4. Facilitation of learning	▪ Will the Model assist municipalities in identifying areas of poor performance and determining causes of poor performance? ▪ Will the model tell us whether we are “doing things right” and “doing the right things”?
5. Replicability	▪ To what degree can the model be cascaded to functional areas and departments ▪ To what degree can the model be used in employee performance management

SOURCE:Moodley:2003:55

There are different types of performance models and any one of them could be applied. Municipalities could therefore adopt and adapt to the performance model that is related to its situation (Pollit, Girre, Longsdale, Mul, Summa, and Waerness , 2002: 25).

The criteria for an effective model for developmental local government will be used to evaluate two models currently being marketed for South Africa local government, from the private sector, namely, the South African Excellence Model and the Balanced Scorecard.

3.5.1. The Balanced Scorecard (BSC)

The BSC is a thoroughly selected set of quantitative measures that originate from the organization's plans (Niven, 2001:14). Niven (2001:14) also sees this measures as instruments used in relating to employee and stakeholders about the outcomes and performance drives and ensuring that organization's mission and strategic objectives are achieved.

Difficult and positive aspects of the Balance Scorecard

Behn (2003:599) states the following advantages in implementing the BSC:

- “Internal changes for improved quality, capacity and skills,
- Adds value and,
- Sustainable development to the financial stance of the organization”.

Due to the fact that public organizations and municipalities work with different stakeholders and unstable financial positions and change in leadership, a chance of unreliable results from using a BSC can be expected (Linna *et al*, 2010:306). In terms of Chan (2004: 204),” limited use of the BSC leads to negative factors such as:

- (i) Difficulty in reporting on non-financial measures
- (ii) Top management buy-in
- (iii) Employee buy-in
- (iv) Influence to ‘customer’ based planning
- (v) Training and education
- (vi) Resources to execute the instrument

3.5.2. THE SOUTH AFRICAN EXCELLENCE MODEL

The main objective of the primary South African Excellence Model is the satisfaction of the customer and people, the effect it has on society and supplier, and partnership performance brought about by leadership driven policy and strategy, people management, resource and information, and actions directed to quality in business outcomes (Van der Watt *et al*, 2000: 89).

According to Moodley(2003:55), the SA Excellence model has an award system associated with it that recognizes the best performing organization according to criteria derived from the above categories. Organizational including municipalities undergo a period of self-assessment, by scoring themselves according to set criteria (Moodley, 2003:55).

The difficult and positive aspects of SA excellence model

The Excellence model frameworks have always aimed at breeding performance excellence of an organization and have made it possible to understand the fundamental issues (Moodley, 2003:56). The advantage of this model is that; the calculation of scores against numerous criteria is facilitated and can be used for 'benchmark' comparison either internally or externally (Zulu, 2006:04). Zulu, (2006: 04) further states that, "it is envisaged that the outcomes of these comparisons will improve performance and business excellence".

The greatest strength of this model lies in the international uniformity of focus areas and criteria as it allows international benchmarking with other organizations to both measure and foster competitiveness (Van der Watt *et al*, 2000: 96).

The difficult aspect is that the SA Excellence model frameworks concentrate more Total Quality Management (TQM) and ignoring the sustainable outcomes. This framework emphasizes the culture of "doing things for the sake of doing them (Modernization Programme, 2009)".

There is no evidence to confirm that it is possible for the excellence model to be cascaded to different departments, functional areas and business units, nor has the excellence model been linked to any form of employee performance management (Moodley, 2003:57).

According to Modernization Programme (2009), award criteria prove to be inflexible as those who want an award nominate themselves as they should be nominated by citizens and such will lead to a subjective perspective to quality and thwart an opportunity to achieve world class performance.

The SA Excellence Model's complexity, its reliance on competitiveness between institutions, its inappropriate discourse and area of emphasis, and its inability to accommodate the process of IDP, lead to the conclusion that it is not suitable for local government.

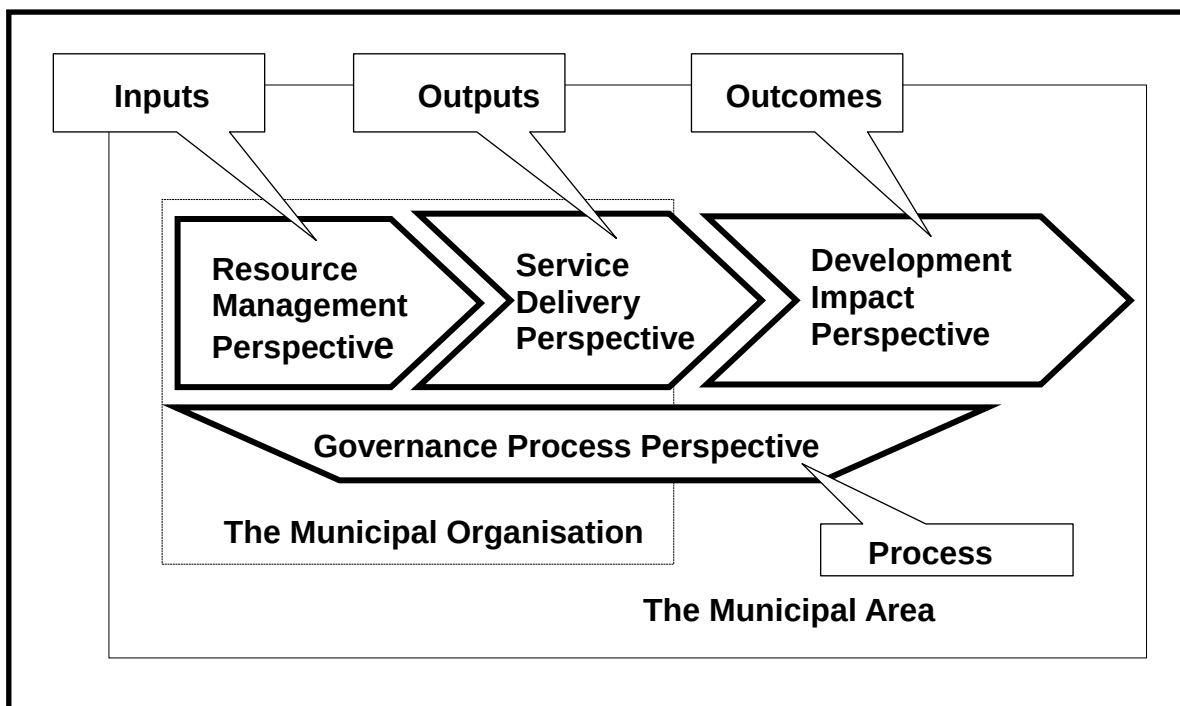
Two models of performance management currently being marketed to local municipalities have proved to fall short of providing meaningful tools to fulfill the performance management requirement of developmental local government (Moodley, 2003: 67). It is clear that a model for performance of local government is needed which is designed particularly for the needs of local government.

3.5.3 The municipal scorecard

A Municipal Scorecard Model is a BSC meant to assess KPAs that are directed to municipal service delivery and public sector (Metsimaholo Local Municipality, 2012: 16).

The model is based on systems approach that consists of four perspectives based on inputs, process, outputs and outcomes. The four key perspectives are described below in figure 3.1. They include development perspectives, a service delivery perspective, a resource management perspective and a governance perspective (Moodley, 2003:65).

Fig 3.1 Structure of the Municipal Scorecard



SOURCE: Moodley, 2003:

3.5.3.1 Developmental Input Perspective

Municipalities have their development priorities and indicators. This perspective evaluate whether such desired priorities are achieved by the municipality (Moodley, 2003:66). These development outcomes are used to gauge whether policies and strategies are achieving the expected development impact (Mestimaholo Local Municipality, 2012: 217). This perspective would typically include poverty reduction, employment creation, economic growth and crime reduction amongst other development objectives.

3.5.3.2 The Service Delivery Perspective

According to Buffalo City Metropolitan Municipality (BCMM) (2010: 172), this perspective assesses performance service delivery and outcomes. These are outputs of the municipality and should typically deal with equitable service delivery, service user satisfaction and service quality (Moodley, 2003: 66).

3.5.3.3 The Resource Management Perspective

This kind of perspective assesses performance with regard to municipal resource management. The following are the inputs of the municipality:

- Human resources;
- Information;
- Organizational infrastructure; and
- Asset management (Mestimaholo Local Municipality, 2012: 218).

3.5.3.4 The Governance Process Perspective

According to Curtis (1999:268), governance in a local government point of view, “is an exercise of political authority within organizations, municipal areas and between municipalities and high levels of the government. This perspective assesses performance with regard to relationship and involvement of stakeholders in the governance process (Mestimaholo Local Municipality, 2012). Public participation, ward committees, council structures, portfolio committees and executive committee form part of the governance perspective (BCMM, 2010: 172).

The governance processes of municipality contain intergovernmental relations, transparency and right to information.

3.6. MUNICIPAL PERFORMANCE MANAGEMENT CYCLE

The performance management cycle is the process not an event, and it operates as a continuous cycle. This ongoing process begins with planning, measuring, monitoring and review performance (Armstrong & Baron, 2005:57). According to eThekweni Municipality (2008:20), “municipalities’ performance management system contains the four core elements, viz;

- Performance planning
- Performance measuring and monitoring
- Performance evaluation and
- Performance reporting”

3.6.1 Performance Planning

Spangenberg (1994: 31) indicates that performance planning includes looking at the vision, mission, plan objectives which are assigned and conveyed to the entire organization. Objectives of the PM process should be connected to organizational customer needs. Du Plessis (2005:13) supports Spangenberg (1994:31) as he asserts that performance planning and contracting include the following:

Strategic plan: This plan consists of strategic choices that the organization made in order to be efficient and effective.

Business plan: The business plan will be on the organization’s operational level and will describe how the organization and its different departments plan to achieve the strategic objectives that have been set in the strategic plan.

Departmental business plan: Each department will have its own unique business plan. These plans will outline the areas of performance of each department (unit) and will indicate the strategic objectives to which they will contribute.

Team delivery plans: These plans will be for a specific group of employees who will be working on a specific project and only for the duration of that project.

Individual performance plan: Every employee regardless of the level should have his or her own unique performance plan. Each employee’s objectives should have a direct relation to the organizational objectives.

Both the IDP and PM processes should be incorporated, as the planning stage of PM is accomplished on IDP. On the other hand performance realizes the execution, monitoring and review of the IDP activities (Mogale City Local Municipality (MCLM),

2004: 27). KPAs and KPIs and KPTs form part of the IDP and national requirements at this stage.

According to Kgantlapane (2009: 13), what must be developed is the performance plan that allows employees' work to improve and succeed as well as to emphasize organizational excellence.

3.6.2 Performance measuring and monitoring

Monitoring is a continuous endeavor of assessing and analyzing the organization's KPIs and targets (MCLM, 2004:28). Section 41 of the Municipal Systems Act 32 of 2000 demands that performance should be quarterly and annually measured and evaluated and determine correct KPIs as a yardstick for assessing performance in terms of essential needs and goals set in the IDP.

Performance should be assessed and executed in terms of the plan to ascertain that there municipal service delivery that is sustainable (Venter *et al*, 2007:115). In this instance, time and relevant information play an essential part as their absence will hinder the execution of the task (Venter *et al*, 2007:115). Means of monitoring should allow municipal role-players to track poor performance and come up with recommendations (MCLM, 2004:28).

Formal reviews should be held quarterly, and all the information shared should be documented. (Du Plessis, 2005:14). Du Plessis (2005:14) went further to say, "such reviews should include amongst others the self-review, management progress review and customer review.

3.6.3 Performance evaluation

Managers and their teams who are responsible the monitoring PMS should collect data of results of performance reviews, and they must ensure that compatibility and equity is applicable in all cases (Du Plessis, 2005:14). When evaluating performance, measurements of the previous steps should be interpreted to decide whether targets are achieved and predict whether the future targets will be met or not (Metsimaholo Municipality, 2012:220). Should the targets be realized, they should be documented for the purpose of organizational learning. Zulu (2006:06) further states that, "performance assesses the effects and outcomes of duties and provides information needed to re-assess performance targets, KPIs and development objectives".

Upon completion of the performance assessments, feedback must be given and the employer is eligible to evaluate and make justifiable alterations to the stipulation of the stipulations of the performance plan timeously for operational purposes on agreements between both parties (Kgantlapane, 2009:42). It is also important that a performance

plan for next year be developed as well as defined developmental requirements and individual training needs for every employee (Du Plessis, 2005:14). The municipality should make certain that there is public participation in evaluation process.

3.6.4 Performance Reporting

As a result of stakeholders being eager to know how municipalities are performing, there should be mechanisms of reporting (eThekweni Municipality, 2008: 38). Reporting should be done in a comprehensive manner to the relevant target group that is going to review the performance objectives, indicators targets against predetermined ones (Metsimaholo Local Municipality, 2012:221).

According to Venter *et al* (2007:122), municipalities are expected to report their performance annually, quarterly and monthly during each financial year. An annual report must portray the current affairs of the performance against the projected objectives (Prinsloo and Roos, 2008:115).

Section 121 (c) and 165 of MFMA call for annual performance report and internal audit unit to inform accounting officers to report performance to the audit committee (Prinsloo and Roos, 2008:115). Included in the report should be both financial and non-financial performance information (Venter *et al*, 2007:122).

3.7 INTEGRATED DEVELOPMENT PLAN (IDP) AND PERFORMANCE MANAGEMENT (PM)

The Development Bank of South Africa and National Business Initiative (DBSA & NBI, 2000:5) IDP as an instrument to manage the strategic plan of the municipal development and tackle all the important issues in oneness. The DPLG (2001:04) defines IDP as “a five year plan where which municipalities prepare the strategic development plan”. The process of IDP is aimed at consultatively, systematically and strategically make municipal decisions on matters of budgets, land management, promotion of local economic development (LED) and institutional transformation (Venter *et al*, 2007:95).

According to Section 34 of Municipal Systems Act, 32 of 2000, a municipal council must assess its IDP annually and correct its IDP in terms of prescribed process and performance measures. The above statement is supported by the Department of Constitutional Development in that “each municipality must have its own IDP and be annually reviewed”. Because of the tendency of municipalities not to implement their plans, PMS should be incorporated to IDP processes. The objective of this incorporation is to push the IDP processes to accomplish its expected outcomes (Kambuwa & Wallis, 2002:09).

The municipality's PMS should be used as a strategy for the local community to evaluate and monitor the municipality's progress and performance towards its achievement of the objectives as stated in the IDP (Jansen, 2003:60).

Moodley (2003:15) indicates that "the IDP and PMS are related activities that have many common platforms. For an example, both have the common prerequisites for public participation processes in their activities. Both use same indicators hence the determination of IDP's indicator depends on the type of the method taken in performance management".

Jansen (2003:73) states the following on PMS and IDP: "a PMS must address challenges of the IDP in the form of priorities and needs within a development context. To ensure maximum impact and optional use in resources municipalities must have the following elements in place:

- A clear vision, mission and strategic goals indicating what they need to achieve;
- Identified methods whereby the strategic goals are listed in capital and operating budgets are achieved';
- Clear plans for how human, financial and physical measures procured and utilized;
- Integrated and agreed upon, quality assurance standards for all aspects of departmental functions;
- An organizational culture that strives towards excellent performance and delivery, by ensuring that decentralization and the developmental mandate enshrined upon local government, lays the foundation for sustainable and viable basis for the well-known slogan ("to create a better life for all").

Du Plessis (2005:31) provides guidelines on how a municipality can become an IDP-guided organization and maximize performance:

- It should focus on developmental outputs in which the municipality engages, such as the alleviation of poverty, community and infrastructural projects and the promotion of investment.
- By employing a high level of developmental staff with appropriate qualifications and experience in develop and project or programme management, the municipality would be more developmentally driven.
- The financial, administration and technical departments in a municipality would primarily be responsible for the support and developmental functions.
- Mishandling of resources, brought about the political convictions, need to be addressed.

- Coordination of activities and cooperation between the different departments in the municipality are necessary for the implementation of development projects that are IDP guided.

It should be noted that IDP and PMS address deep-rooted essentials about the execution of developmental priorities and encourage accountability for those responsible to bring service delivery (Kumbuwa & Wallis, 2002:02).

3.8. ROLE-PLAYERS AND RESPONSIBILITIES

There should be clearly defined roles and responsibilities for effective performance management. Such role players should be skilled and experienced in their respective roles. The following are some of the role-players in PMS at municipal level.

3.8.1 Municipal Council

The council must ensure that performance management is executed as demanded by the prescripts of the municipality and must evaluate performance based reports reviewed from Performance Audit Committee (PAC) and the Municipal Manager.

3.8.2 Municipal Manager

As per Municipal Systems Act, 32 of 2000 and Municipal Planning and Performance Regulations of 2001, the Municipal Manager's role is to monitor performance by managing the development of the performance management function/framework and every role-player execute the provision of the PMS guidelines that is linked to IDP. Municipal managers should also receive the audited performance report quarterly and annually from internal audit.

3.8.3 Employees

In terms of Municipal Systems Act, 32 of 2000, the municipal staff should have active participation in PMS and performance appraisal. According to City of Tshwane (2011:40), this includes the following roles:

- Developing realistic KPA's that will provide for strategies and goals of the municipalities;
- Being in charge of their own related development;
- Assess their performance by seeking report back from evaluators including supervisors.

3.8.4 Functional Managers/ Supervisors

Functional managers take up the role of implementers of the PMS as they determine the indicators and performance targets. On an operational level the functional managers

must assist with effective co-ordination of employee's performance by using performance management cycle to coach as well as monitoring employees' performance against these KPA's.

3.8.5 Audit Committee

According to Section 166 (2)(a) of MFMA, the Audit Committee advises municipal council, political office bearers, accounting officers and staff at management level on issues of performance management and performance evaluation. Section 14 (2-3) of the Regulations demands municipalities' Audit Committee to:

- Evaluate the quarterly report that are from internal audit unit;
- Evaluate PMS and give advices with the matters of the council and municipality;
- Issue an audit report to the municipal council at least two times during the financial year (Zulu, 2006:22).

3.8.6 Local Labour Forum (LLF)

According to Labour Relations Act, 66 of 1995, the LLF is given the duty to make sure that the introduction of and PMS processes are done in a justifiable and equitable manner and employee's rights are safeguarded. The LLF should also make sure that the culture that is conducive for appraising is set up.

3.8.7 Community

According to Overstrand Municipality (2008:25), the community consults via or directly to ward committees and other relevant forums. This is done through appropriate legislative requirements. According to Municipal systems Act, 2000 the community should take part in monitoring, measurement and review of PMS on annual basis and annually comment on the progress of performance of the municipality.

3.8.8 Mayor/ and Executive Mayor

The executive may assign the management of performance to the manager with regard to dispute resolution regarding performance management matters.

3.8.9 Oversight bodies

Oversight bodies are executive authorities, presidency and premiers Office, National Treasury and Provincial.

An essential role of National Treasury and Provincial Treasuries with regard to performance management is to monitor and provide training on the economic, effective and efficient use of resources to bring about the desired service delivery (National Treasury RSA, 2007:18).

3.8.10 Auditor-General (External Auditor)

The Auditor-General must audit and provide feedback on the accounts and financial management of all departments within all the spheres of the government including municipalities (Section 188 of the Constitution of RSA and Public Audit Act, No. 25 of 2004). The nature and scope of audit services includes performance audits where all resources of the department are audited to assess whether they are procured in an efficient manner (Prinsloo and Roos, 2008:08).

3.9 AUDITING OF PERFORMANCE MEASURES

The PFMA (Section 38 & 51) delegates the duty to accounting officers of all the national, provincial and municipal departments to use resources economically, efficiently and effectively. According to section 45 and 57 of PFMA, it is not only the duties of accounting officers to effectively use resources but also that of other officials in lower ranking levels. The MFMA also delegates duties to municipalities to use resources in an effective, economic and efficient manner

3.9.1 Definition of performance audit

Performance audit is seen as an audit process aimed at assessing the efforts set up or not set up by management. These include the efficient and effective utilization of resources and accounting to management and relevant stakeholders on the effect of the inadequate management measures (South African Institute of Chartered Accountants (SAICA), 1999:4 and Prinsloo and Roos, 2008:4).

3.9.2 Internal Auditing

An independent internal audit section in municipality should be established for as long as there are available resources and need to do that as commanded by MFMA (Zulu, 2006:21). The internal auditing process of this section must audit the results of performance measurements and contain assessments such as:

- The functionality of the PMS;
- That does PMS abide by the Act; and
- Their extent on reliability in gauging performance of municipalities on indicators (Section 1(a) and (b) of Municipal Planning and Performance Management Regulations, 2004:4-6)

Performance measurements must be audited on the continuous basis and audits of the municipal manager must be reported quarterly.

3.9.3 Performance Audit Committee (PAC)

The Municipal Planning and Performance Regulations, 2001, section 14 determines the composition of Performance Audit Committees as follows:

- There should be a minimum of three (3) members, of which two must not be the municipal officials/ or councilors.
- At least one should be experienced in performance management.
- The PAC should meet twice annually to assess quarterly reports and PMS and come up with recommendations to the council.

Direct communication with the council, municipal manager, internal and external auditors of the particular municipality will serve in fulfilling the obligation of the PAC (Moodley, 2003:29).

3.9.4 The significance of performance auditing

Prinsloo and Roos (2008:4) cite the following importance of performance auditing:

- (i) To enable government to demonstrate that public accountability responsibilities have been fulfilled
- (ii) For public accountability, those who are responsible for government programmes must account for such programmes
- (iii) The results of performance audit provide an important means for stakeholders to obtain insight into the management of different government programmes and activities
- (iv) It provides a mechanism for improving operations and productivity;
- (v) In case the resources are limited there is a need to prioritize the programmes according to their order of importance. With this regard performance auditing forms the foundation where decisions in terms of funding and making priorities are made.

3.10 GENERAL ISSUES RELATING TO PERFORMANCE MANAGEMENT

When implementing PMS of the municipality it is imperative to take into account the following points that have to do with performance management.

3.10.1 Managing poor performance

According to Roberts (2007:89) “performance appraisal”, as one of the elements of performance management, is a debatable management instrument seeking answers to universal problems in system design and administration. The appraiser should ensure that the appraisee has received the action plan within a week for the purpose of re-confirming the time frame and creating reporting procedures that are in line with performance progress report designed by Municipal Services(MS) (Pro-Active Management Services, 2008:32).

The manager should intervene and help an employee who is underperforming or achieving below average as per his/her performance agreement. This will be useful in detecting early warning signs during the first quarter of the performance review (MCLM, 2004:37).

All sides of performance management have the tendency of triggering suspicions or debates in particular when performance is related to pay (Prince, 2004:511).As the result managers are doubtful in engaging employees in performance issues for the sake of avoiding controversy (Ngcongwane, 2008:53). Prince, as quoted by Ngcongwane (2008:53) states that “PMS is doomed to fail or be ineffective if there is:

- lack of consensus between involved parties on what to be done;
- lack of a technique to measure the effective way to desired performance;
- lack of a reward system that is directly connected to performance;
- lack of favorable conditions for successful performance;
- lack of a communication programme that is acceptable and comprehensible ; and
- lack of a culture of performance in an organization”.

In an attempt to straighten out the causes of poor performance management, Du Plessis (2005: 31) states that, “for performance management to be successful it is important that:

- priorities and targets should be set honestly by local authorities
- managers should continuously be educated on PMS
- for mutual understanding of a PMS, all stakeholders need to cooperate
- the true reflection of the integrity of local government will be to get the community involved in the performance process”.

3.10.2 Reward and Recognition

The most important reason for linking outcomes to performance is that good performance followed by giving rewards and recognition reinforces the effort as well as the performance behavior (Kgantlapane, 2009:20). Coetsee (2003:154-155), in Kgantlapane (2009:20) states that, “rewards and recognition may be of a monetary nature, a promotion or pat on the back, a feeling of satisfaction, or may be of disciplinary nature or feeling of dejection due to performance. Linking rewards to performance (pay for performance), and vice versa disciplining under-performance, are both complicated matters, but both are of a great importance”.

Non-financial rewards are also used as the recognition of good performance instead of financial reward. This can be done by the following approaches:

Informal: e.g. calling an employee and thanking him/her for a good work done;

Awards for specific achievements and activities: e.g. long service awards, monthly awards, and etc.;

Formal: e.g. annual mayor’s awards for excellence, and etc. (MCLM, 2004:38).

The council should adopt a Reward and Incentive Policy that will guide in terms of awarding the departments, managers and staff. In so doing the council should analyze the financial, legal and institutional practicability of performance awards (Pro-Active Management Services, 2008:37). It should be noted that incentives and rewards should not be beyond the parameters of the local government, DPLG, SALGA and South African Local Government Bargaining Council (SALGBC).

According to Sub-regulation 32 of R805, an employee should be paid performance bonus if the municipality affords after adhering to performance evaluation principles in accordance with the provisions of 23 of R805. In addition, the following conditions are applicable and a person who does not comply will not be eligible to receive a performance bonus for the review period:

- A written performance based employment contract been signed;
- A separate performance agreement and performance plan/score within three (3) months after assumption of duty has been signed or a separate performance agreement has been signed annual the commencement of the new financial year whichever is applicable for review period (City of Tshwane, 2011:19).

3.10.3 Dispute Mechanism

Section 57 of the Municipal Systems Act provides for agreed determination of objectives and targets between employee and the manager. This Act also provides for employer's expectations of the employee's performance and responsibilities in terms of IDP, municipal budget and SDBIP. A dispute lodged about employee's performance must be mediated on time in case of clause 33(1) of Regulation 805.

There are clear guidelines for municipal managers in terms of performance disputes relating to the performance. Such guidelines are provided by the Municipal Performance Management Regulation for Section 57 managers.

Section 57 provides the following processes regarding disputes relating to employees:

- Conduct performance counseling underperformance;
- If counseling does not produce desired results, improvement processes are implemented with specified timelines; and
- If there are no improvements disciplinary process will follow with verbal warning instituted at first and followed by written warning and eventually dismissal.

3.11. CHAPTER SUMMARY

This chapter consisted of the theoretical exposition on the municipal performance management. Within the chapter are topics such as definitions, legislative and policy framework, objectives of the PMS, performance model, performance management cycle, auditing of performance measures, IDP and PM, role-players and their responsibilities as well as general issues relating to performance management. The above topics were highlighted, discussed and analyzed in order to show their relevance to local municipalities. The subsequent chapter will focus on an overview of performance management in the Waste Management Unit at Emfuleni Local Municipality

CHAPTER 4

AN OVERVIEW OF PERFORMANCE MANAGEMENT IN THE WASTE MANAGEMENT UNIT AT EMFULENI LOCAL MUNICIPALITY

4.1 INTRODUCTION

The foregoing chapter focused on theoretical exposition on municipal performance management. A mention of performance management and performance measurements as concepts and as pieces of legislation that govern municipal performance, performance models, the relationship between IDP and performance management, municipal performance management cycle was also made. Role-players and issues relating to performance management were also explored.

This chapter gives an overview of performance management in the Waste Management Unit at ELM. The chapter will begin by describing the geographical overview of ELM with the intention of explaining the range that Waste Management Unit at ELM covers. It will provide the concept definition of “waste” and “waste management”. This chapter will also give account on the rationale for waste management at local level, the prescripts that govern the waste management and the current situation in terms of performance management of the Waste Management at ELM. This current situation will be outlined in terms of organizational structure, monitoring and management of performance, service standards and performance measures, PM process as implemented within the Waste Management Unit at ELM, factors leading to Waste management Unit's performance failure, organizational performance followed by the chapter summary of the chapter.

4.2 GEOGRAPHICAL CONTEXT OF ELM

ELM is one of the three local municipalities that form part of the Sedibeng District Municipality. It covers an area of 987.45km² and is home to two main civic centres namely; Vereeniging and Vanderbijlpark. ELM is acclaimed as an economic hub by having industries that producing world class iron and steel.

Emfuleni has more than six large peri-urban townships. Amongst them are: Evaton, Sebokeng, Sharpville, Boipatong, Bophelong, Tshepiso and etc. These peri-urban townships have no facilities associated with towns of their size. There are approximately ten suburban settlement within few kilometers of Vereeniging and Vanderbijlpark, they are; Bonanne, Steelpark, Duncanville, Unitas Park, Arcon Park, Sonlandpark, Waldrift, Rust-te-Vaal, Roshnee and Debonair Park. There are a number of large residential areas that require substantial investment in improving infrastructure and environment (ELM IDP, 2012: 3).

4.3. DEFINITION OF WASTE AND WASTE MANAGEMENT

Waste Act 59 of 2008 defines waste “as any substance, whether or not that substance can be reduced, reused, and recovered:

- that is in excess and has no further use for productions;
- refused, cast off, discarded, deserted or ditched;
- that must be dumped; or
- That is spotted as waste by the Minister by notice in the Gazette, and includes waste caused by the mining, medical or other sector”.

According to Spamer (2009:5) “the concept ‘waste’ includes stuff that is thrown away by society when rendered useless”

Kaseva and Mbulungwe (2005:354) define waste “as products of human and animal activities that are perceived as being useless and of no use”.

4.4. RATIONALE FOR WASTE MANAGEMENT AT LOCAL LEVEL

In terms of Schedule 5B of the Constitution of South Africa (Act 108 of 1996), waste management is a municipal responsibility that must be implemented to protect human and environmental health.

A municipality should acknowledge that waste generation maybe caused by people, business or by industrial entities or may be caused by disasters, accidents, or natural occurrences.

A municipality should accept its duties of waste minimization or reduction and should be aware of the relevant policies that bring change in terms of waste reduction.

To manage waste effectively, equitably, efficiently and sustainably the municipality needs to administer and regulate interventions, systems and technologies within its boundaries. This will reduce social, health, environmental and economic pressure brought about by waste generation.

4.5. LEGISLATIVE FRAMEWORK FOR WASTE MANAGEMENT SERVICES

Various legislative frameworks and prescripts are mentioned in this chapter including protocols and National and Provincial Acts of South Africa. There are various municipal regulations or policies that contextualize the performance management principles to enable waste management in an integrated, sustainable and accountable manner so as to maintain a safe and a healthy environment.

The following regulations are relevant to waste management at municipal level including ELM:

- 4.5.1 The Constitution of the Republic of South Africa 108 of 1996.
- 4.5.2 National Environment Management Act 107 of 1998 (NEMA).
- 4.5.3 The National Environment Management Waste Act 59 of 2008.
- 4.5.4 Municipal System Act 32 of 2000.
- 4.5.5 The Development Facilitation Act 67 of 1995.
- 4.5.6 National Health Act 61 of 2003.
- 4.5.7 Municipal Demarcation Act 27 of 1998.
- 4.5.8 Organizational Local Government Act 52 of 1997.
- 4.5.9 Municipal Structures Act 117 of 1998.
- 4.5.10 The Physical Planning Act 125 of 1991.
- 4.5.11 National Environment Management: Air Quality Act 39 of 2004.
- 4.5.12 Atmospheric Pollution Prevention Act 45 of 1965.
- 4.5.13 National Water Act 36 of 1998.
- 4.5.14 Department of Water Affairs (DWAF); Minimization Requirements for Landfill. 2nd Edition 1998
- 4.5.15 National Waste Management Strategy and Action Plan

ELM has a responsibility to ensure that its residents have a safe and a healthy environment as prescribed by the above legislations. National Environment Management Act (NEMA) 107 of 1998 that serve as a guideline of management of waste commands that municipalities, including ELM, must develop and adopt its own solid waste management by-laws. These by-laws will cover areas of offences and penalties due to illegal dumping. Such by-laws should be revised on the continuous bases based on the status quo of the environment.

Most legislative frameworks fall short in the execution of waste management plan due to the absence of capacity across all government spheres to enforce legislation (DEA, 2007:3). The Waste Act 59 of 2008 provides for the appointment of waste management officer at municipal level (Department of Environmental Affairs (DEA), 2007:3).

4.6 A CASE STUDY OF THE PERFORMANCE MANAGEMENT OF WASTE UNIT AT THE ELM

This section provides for an outline of the PM process as implemented at the Waste Unit at ELM. This will also account for the current situation in terms of the structure and business of the Waste Unit.

4.6.1 Organisational structure of Waste Management Unit at ELM

The municipal collection and disposal of waste along with the associated public cleansing activities is a very large operation involving a labour force of approximately 570 people at a total cost of approximately R132 million per annum.

In terms of Municipal Structures Act (1998: 78), municipalities have the mandate to appoint a Waste Management Officer (WMO) from its directorate to coordinate waste management issues in that particular municipality. The WMO should manage the operations in functional divisions away from service-delivery functions as his/her duty is to oversee whether there is compliance with national norms and standards as set out by Waste Act.

The manager of the waste management is responsible for the Division (Unit) and is supported by three assistant managers. All of the assistant managers run “Operations”. “Operations” is divided into “Collection and Treatment/ Disposal”.

Three Assistant Managers run the collection of waste from their respective geographic areas, namely; Vereeniging, Vanderbijlpark and Sebokeng. The collection of waste involves the following staff (although some positions have yet to be filled, funding pending).

- 1 Manager;
- 3 Assistant managers: Collection Operations;
- 6 Superintendents;
- 9 Supervisors;
- 4 Depot clerks;
- 2 Community liaisons;
- 52 Drivers;
- 8 front-end- loader;
- 4 team leaders;
- 6 skip loader attendant;
- 1 Chipper attendant;
- 2 Spotters, and
- ± 480 General workers.

There are 262 temporary workers under the wing of Expanded Public Works Programme (EPWP) whose contracts expire at the time frames agreed upon in the contract. This programme is indirectly funded by the government.

Vehicles and equipment are stored at various depots.

Waste management is categorized in the following key functions; household, illegal dumps, business and industrial refuse collection, mini dump transfer facilities and informal settlement and Central Business District (CBD) cleaning and landfill sites operations and management (ELM's Waste and Landfill Management, 2011:43).

Household waste is collected once a week (a total of 174 904 household). There has been an increased figure in sustainable household collection as service is extended to new areas. Business waste is collected on a daily basis (a total of 1 453 stands) as provided by the Provincial norms and standards. Litter-picking and street sweeping services are also being done in mainly the CBD areas with the help of the EPWP. There is a prepaid service provided for residents intending to dispose builder's rubble from their household including construction waste. The recycling centre (Mini Recycling Facility (MRF)) in Evaton is operational and the re-claiming of all items that have commercial value are collected in Evaton, Sebokeng, Vanderbijlpark and all landfill sites on a daily basis (ELM's Waste and Landfill Management, 2012:38).

The WMU promotes the following

- Bontle-ke-botho (BKB) clean and green programme for a cleaner environment;
- Waste recycling activities to promote and create informal jobs around waste disposal facilities;
- There is A Waste-Buy-Back centre that is promoted by WMU for the purchase of recyclable;
- There is a MRF at the Evaton West area that is also supported by WMU;
- There are two MRFs at the Bophelong area that are partly utilized but can become beneficial if user can come to the front, and
- There are two trucks available in the WMU that are used to promote waste recycling activities in the municipal area (ELM's Waste and Landfill Management, 2012:49)

Achievement of Waste Management Unit

- A total of 118,519 cubic meters of waste (representing illegal dumps) was removed in all wards in a continuous clean up removal programme conducted for the 12 months of financial year.
- Evaton-Buy-Back centre has been renovated by Buyisa-e-bag where it was supplied with all necessary recycling equipment. The centre is currently operational and sells at least 5 tons of recyclable material every month.
- A total of 287 Labor Persons were appointed on a 5 day per week basis to assist in keeping townships, CBDs' streets, refuse collection services and landfill areas clean.
- The Gauteng Department of Agriculture Conservation and Environment awarded the Emfuleni Provincial prizes and two Councilors won 1st and 2nd prizes in BKB clean and green campaign.
- The policy and procedures for progressive rehabilitation and operations of all landfill sites was adopted by evaluators appointed by the Council.
- The Master Plan for Waste and landfill site Management imbedded in the Integrated Waste Strategy was approved by the Council. The plan focuses on extension of serviced and infrastructure in specific short term, medium and long term projects.

Challenges faced by the Waste Management Unit

- Due to the impact of vehicle replacement programme, the backlog to service delivery especially household collection, has decreased, including emergency situations linked to occasional 2 to 3 days backlogs such as late delivery of fuel and Union activities, and etc.
- Too many new houses recently completed with little or no street making it difficult for municipal trucks to render service there.
- There are fewer people who are willing to participate in waste recycling activities that could help to minimize the amount of waste that sent to landfill sites.
- Continuous problems of spreading of illegal dumping by people who do not want to go to landfill sites because they do not want to pay is increasing.
- There are no enough personnel that can be posted in strategic positions to stop acts of illegal dumping.
- Lack of education and awareness as the majority of the people are not coming to meetings organized by the WMU.
- Lack of participation in BKB.
- Non-cooperation of some members of the community who do not want to take out waste from their houses on specified days and times and only does that after the truck have passed.

- No increased capacity to address backlogs of sustainable household collect services (ELM'S IDP, 2012: 98).

4.6.2 Monitoring and Management of Performance

According ELM,s Waste and Landfill Management (2011:63) the WMU at ELM is subjected to the Council's oversight, audit and regulations in terms of NWMS, the IWM Policy and the council's by-laws that determine the standards and KPI's for waste management services. These standards should be revised on continuous bases as per stipulations of this policy and be measured for remedial and accounting purposes in terms of generally accepted performance management criteria and practice. With the situation ELM'S WMU all employees including managers are not oriented to focus on priorities such as PM and there is no unit specifically to deal with performance management.

4.6.3 Service Standards

The service standards are ever-changing from time to time due to the following:

4.6.3.1 Institutional capacity

The WMU is experiencing the shortage of labor force for waste collection. There is a need to have the creation of post for additional services and to be rendered as there are new developments in the municipal area. It is essential that the municipal workers be trained for their specific tasks as it is currently not the case.

4.6.3.2 Financial Resources

There is poor payment of services due to various reasons and as the result the ELM's have to prioritize its programmes by order of importance and urgency leading to WMU placed at the least of the priorities.

4.6.3.3 Dissemination of information

The WMU is working very hard to establish a Waste Information System to ensure effective waste management. This information is aimed at building capacity amongst the employees and share information as well as co –operation of the various stakeholders within the municipality. The set back is the personnel with the skill in information management.

4.6.3.4 Management of illegal activities

The ELM is facing problems with the illegal dumping within its area. Neighborhood watch system was initiated to prevent illegal dumping but was not effective.

The service standards are based on the evaluation of both inputs activities, as well as outputs and outcomes of waste management. In this essence the inputs are the reasons why outcomes are not reached. The following are the service standards.

- **Collection Standards**

The minimum service standards and outcomes for the collection of waste is the collection of the contents of one bin (or equivalent) once a week, outside the dwelling.

- **Cleanliness Standards**

The general approach that is used to monitor and measure cleanliness outcomes in the two cities, is a series of visual or photographic indicators based on the outcomes of cleaning efforts, which ranges from “Desirable” to “Totally Unacceptable”. The minimum level of service is depicted by “Acceptable”.

- **Disposal Standards**

The service standards and outcomes for the waste processing, treatment, transfer and disposal functions are primarily framed by legislative and permit requirements which relate to pollution levels of various kinds. The key service levels for these facilities are the hours of access and operational availability of infrastructure and facilities, so as not to prevent unnecessary delays, or that may lead to unlawful practices (illegal dumping, that will have environmental and health impacts) (ELM's waste and landfill management, 2011:56).

4.6.4 PM process as implemented within the Waste Unit at ELM

The principal stumbling block to a sustainable waste management service at a municipal level is the absence of suitable performance management to administer the service in an efficient and effective way as well as the shortage of capacity knowledge to shift the service to a waste minimization approach. There is a need to put mechanisms in place to enhance the waste unit's performance management.

Chapter 6 of the Municipal Systems Act (MSA) 32 of 2000 stipulates that “:municipalities to develop a PMS that is commensurate with its resources, best suited to its circumstances and in line with the priorities, objectives, indicators and targets contained in the IDP with the involvement of the community”. Such PMS should contribute in managing, developing and rewarding performance in an engaging and consultative

technique (Oliver, 2008:49). The intention of PMS is to focus at all employees appointed in terms of Public Service Act 103 of 1994 including those at the employ of WMU at ELM could bring major improvement in the performance and development of officials.

The PMS is used to “control and coordinate” all the organization’s resources so as to accomplish the highest possible performance (Muchinsky, 2012:45) “How performance is managed in an organization determines to a large extent the success or failure of the organization. Muczyk and Gable (1987:21) assert that improving performance appraisal for everyone within any given organization should be amongst the highest priorities of that organization, particularly in the current modern era.

PMS is executed and has been cascaded from Political Office to Section 57 Managers only at ELM. According to Municipal Systems Act (MSA) 32 of 2000, the Executive Mayor is duty bound for the development and the regulation of PMS and it is the responsibility of Council to endorse and adopt the system. The Executive Mayor can delegate the Municipal Manager to manage performance even though the Executive Mayor remains accountable for PMS. The senior Managers (also Section 57 appointees) will be responsible for executing PMS in their respective Directorates in terms the approved framework. Such performance must be monitored, measured and reviewed at least once a year (Section 41(1) of Municipal Systems Act, 2000).

The PMS should be instituted to lower levels as the major goal of ELM to establish better levels of performance by employees and will accordingly cascaded down.

According to Zulu (2006: iv) “The Municipal Systems Act 32 of 2000 and Municipal Planning and Performance Management Regulations 2001 place a legal task on municipalities to develop and execute PMS. The Act also suggests that the system must be made in a manner that it may serve as an early indicator of underperformance”. The ELM have to established its own PMS as a mandate that set appropriate key performance indicators (KPIs) and measure performance targets with regard to prioritized development programmes and objectives set out in the IDP in consultation with the community.

It is a profound condition in terms of the PMS guidelines that all managers and supervisor staff members need to be trained in terms of PMS processes and that norms and standards have to be determined when key performance areas (KPAs) are written in job descriptions, this is still lacking in ELM’s Waste management unit. This may lead to the incorrect application of the system with the result that staff could be assessed improperly and in an unfair manner.

There are no guidelines used to design the system, execute it and reach conclusion and judgments about performance. Should there be conclusions and judgments reached without proper performance guidelines, such will not be objective and balanced.

Individual performance appraisal of employees at lower level than section 57 employees are not in place. Oliver, (2008:1) states that, “the establishment of a PMS should be a joint effort between line management, human resources management and employees. It would offer line managers and the employee ownership of the system and ensure stronger commitment”.

The lack of performance guidelines will not afford employee at WMU to receive continuous feedback on the results of the performance in a productive way. The aim of feedback provides employees with an objective appraisal to the current situation and will be linked to appropriate steps to improve performance, including training and coaching objectives.

4.6.5 Factors leading to waste management unit performance failure

According to CSIR (2011:1) there are two subjects of drawbacks to effective waste management, namely, financial management, human resource management and institutional behavior (management and planning). These drawbacks are in numerous occasions’ evidence of fundamental causes of poor performance.

Financial management

One of the unchanged challenges that is always recognized by the management at WMU is inadequate funding. Finance is the rare resource in all government spheres. ELM is not the exception to this case as its budget constrains make it difficult to put first the waste management as its priority in the programmes set out in the IDP (CSIR, 2011:2). The reason for this financial problem at local level in general is the decline in revenue-base. This also impacts negatively on the accomplishment of KPAs and KPIs of the ELM’s WMU.

Most income is created by trading services (electricity, water and sanitation). The combined total income from trading service accounts for over 60% of ELM’s revenue. Revenue levels are below budget. The levels of non-payment suggest that there is a need to review tariffs and the current revenue management/ credit control systems and outcomes.

The WMU has the difficulties in insuring that appropriate capital equipment is supplied and appropriate operating funds are accessible for assets maintenance purposes. Eventually the WMU does not have the platform to contribute to the mechanisms that involve monitoring the assets conditions, vehicles and resources that will ensure accessibility in order to derive efficient and effective outcomes (CSIR, 2011:2).

The possible threat to management of waste control’s performance is the absence of accountability on expenditure on the provisions of waste management services and

resultant challenges involved in developing a financial plan for the Integrated Waste Management Plan (IWMP) could be a threat to waste management's performance.

Absence of financial management skill base and an unconvincing support from other tiers of government could be the reason for poor performance.

Human Resource Management

There are different factors leading to performance failure and such factors have diverse sources of origin (Fakier, 2012: 29). Performance objectives may be irrelevant, resources or capacity may be inadequate and the instruments (tools) employed to measure performance might be inappropriate. There are also human factors such as non-commitment from employers and stakeholders, leadership style and political factors that will lead to performance failure.

The following factors could be the cause of performance failure of PMS at Wasted Unit

- Employee goals often not aligned to the strategic goals of ELM as a whole
- “Under-developed” job competencies and weak skills bases, and
- Financial rewards that are paid to employees even though the performance rendered to the unit is not quality.

As a general rule, those responsible for the management of wastes do not pay adequate attention to the use and importance of information management. Typically, evaluations of performance and effectiveness of the waste management systems are limited to visual observations of primarily streets and disposal sites. Inadequate coverage by the collection services, uncollected waste and fires and unpleasant odour generation at the disposal site typically is blamed on lack of equipment and human resources. Rarely is a more fundamental problem considered, i.e., inefficient utilization of available resources (Fakier, 2012:30).

There are major shortcomings in a way which performance management is carried. Line managers do not own performance management and do not show commitment to it, as they view PM as to-down process with no channels of feedback, employees perceive PM as something originating from their superiors, hence WMU at ELM is marked by pure rejection of performance management by the employees and unions.

According to Fakier (2012: 29) “performance outcomes cannot be measured when duties of the managers are not clearly defined by Unit. Shortfalls become apparent when there is lack of culture of commitment to service excellence”.

All features of PM have the tendency to provoke disputes, particularly performance related-pay. There is always discontent with PM related issues displayed by employees,

and managers are unwilling to involve them for the purpose of refraining from such disputes (Prince, 2004:17).

The absence of reward system linked to performance and the conditions that are not conducive for successful performance implementation are testimony to the organizational culture that is not performance based.

It is imperative to find whether WMU has sound human resource management practices that have sound strategies and procedures with regard to human resource planning, recruitment and selection, people development as well as timeous and suitable procedures of managing disputes based on PM.

4.6.6 Organizational Performance versus Individual Performance

According to the above information the WMU has the organisational performance system as required by MSA but falls short with employee performance. Ngcelwane (2008:48) states, “performance management is the component of human resource management and development strategy where which employees and the employers are in a continuous attempt to improve individual performance and their efforts to achieving objectives of the organization. The question is how WMU operates as there is no link between organizational performance and individual performance”.

Suitable KPIs must be developed to serve as a measuring stick for individual and organizational performance. These KPIs should incorporate the outcomes and the impact of a performance area in terms of municipal’s development priorities and objectives as set out in its IDP

The performance management practices and approaches may differ from one level of employees to another depending on the type of their responsibilities as per job description. For example; the approach might contain group assessments and peer reviews, and more conventional annual written reports (Ngcelwane, 2008:48). This seems not to be applicable within the WMU even though individual employees contribute hugely to the objectives of the Unit.

The performance of the Waste Management Unit at ELM will improve if the performance of individual person improves. The absence of performance management policy that provides for mechanisms to reward superior performance and processes and procedures to address performance that is below the required standard will hinder the progress of the Unit in one way or another.

4.7 CHAPTER SUMMARY

Chapter four gave an overview of the Waste Management Unit's performance management. It also contributed in making known what the current situation in terms of performance management within the Unit is. From the above discussion it is apparent that performance management guidelines are available at ELM in general. However, the way in which they are implemented and managed at organizational level do not properly relate with individual performance. This is what is applicable at Waste Management Unit. This prompted the researcher hereof to conduct face-to-face interviews with selected senior personnel within the Unit and use questionnaires to gather as much data as possible on the actual happenings within the Unit as well as to objectively analyze the effectiveness of performance management and to identify the exact challenges envisaged by the Unit. The outcomes of this inquiry are tabled and discussed in details in the next chapter.

The next chapter, chapter five, will also give an in-depth account of the research methodology and design used in conducting the research. As already mentioned above, the chapter will also provide an analysis of the individual interviews and answers from the questionnaires in order to consider the implications of the effective performance management of Waste Management Unit at ELM.

CHAPTER 5

EMPIRICAL RESEARCH

5.1 INTRODUCTION

The aim of this chapter is to give a quantitative and qualitative exploration and interpretation of data gathered within the WMU at ELM on the PMS as the tool for promoting effective waste control within the Waste Management Unit. The research methodology, data collection, design and techniques used in the study will also be outlined.

Quantitative data was acquired from the questionnaires which were issues to WMU employees and qualitative data was acquired from interviews with managers. The analysis of the four themes (from the research objectives) will be described and outlined in this chapter.

5.2 DATA COLLECTION METHODS

The chosen population of the study is ELM's WMU employees, section 57 managers and the community around the municipal area. The permission to conduct both the survey and face to face interviews with managers was received from the WMU manager. The questionnaire contained 78 test items which are based on the four themes of the research objectives as well as qualitative questions (for interviews) with the intention earn more understanding. Questionnaires were issued by hand and the researcher coordinated the return thereof over the period of 3 weeks.

5.2.1 CHOICE OF DATA COLLECTION METHODS

This study it provides for quantitative and qualitative investigation and, the data received from the survey and interviews is justifiable.

Quantitative methods deliver more objectivity, measurement, analysis and evaluation of the respondents' belief in association with phenomenological studies (Mouton, 2011:24, Welman *et al*, 2008: 8-9). A qualitative method of the research provides a comprehensive interpretation of concepts, constructs and opportunities which allow the research nearer to "social reality" (Bless & Higson-Smith, 2004:156, Mouton & Marias, 1994:160). The worth of the study is maximized through triangulation which brings validity and reliability.

5.2.2. DATA COLLECTION

A total of 117 questionnaires were collected out of 150 issued to waste management employees. 97 questionnaires were collected out of 150 issued to the community members. Face to face interviews were held at ELM with top managers (section 57 employees) and lower level managers at WMU within the ELM.

5.2.3. ETHICAL CONSIDERATIONS

Throughout the recording and other data gathering methods employed in the carrying out of the current study objectivity was at all times given priority. The confidentiality of interviews and questionnaires was therefore sustained throughout the research process.

5.2.4. PROBLEMS ENCOUNTERED DURING DATA COLLECTION

A number of challenges were encountered in the process of conducting this study. Below is a list of some of these challenges.

- Most managers and staff were hesitant to complete questionnaires citing the reason that they are not part of the performance management;
- Most staff members did not see the reason to complete the questionnaire because PMS was not implemented across all the departments in ELM;
- Most senior managers were unenthusiastic in the study and delegated lower managers to be part of the study;
- If some superiors did not form part of the survey and most staff members at lower ranks were reluctant to complete the questionnaires citing no authorization from top managers was obtained;
- Most staff members and community members were late in submitting back the questionnaires as they were busy with their work, and
- Most top managers were too busy to give the researcher an opportunity to interview them.

5.2.5. RELIABILITY AND VALIDITY OF THE STUDY

The authenticity of ideas, concerns and issues raised were demonstrated, as the responses from the participants (both from survey and interviews) was consistent throughout the data gathering period.

The items were acceptable as they were clear and comprehensible.

According to Mouton (1994:15) the credibility of the data was demonstrated as the elements of the research problem were in line with the topic under investigation.

All the sources of data gathering are upheld. Objectivity was sustained during data recording so as to protect the data's sincerity as well as construct and content credibility.

5.3. ANALYSIS OF QUANTITATIVE AND QUALITATIVE DATA

The sections to follow will focus on the analysis of quantitative data acquired from the questionnaires and analysis of the qualitative data acquired from face to face interviews.

5.3.1. ANALYSIS OF PERFORMANCE MANAGEMENT IN THE CONTEXT OF MUNICIPALITIES

Table 5.1 illustrates the synopsis of responses obtained from the population, per item tested for theme1, on performance management in the context of the municipalities.

Table 5.1: Theme 1: Performance Management in the context of the municipalities

	THEME 1: PERFORMANCE MANAGEMENT IN THE CONTEXT OF MUNICIPALITIES	RESPONSE IN PERCENTAGES (%)			
		NO	NOT SURE	YES	TOTAL %
1.1	Do you know and understand the mission statement of the municipality?	14,0%	25,0%	61,1%	100%
1.2	Do you really know what PMS is?	12,8%	29,1%	58,1%	100%
1.3	Is there uniformity in the evaluation of performance between different departments?	47,9%	35,9%	12,8%	100%
1.4	Are all employees sufficiently informed about PM	87,2%	00%	11,1%	100%
1.5	Is PM meant to drive performance excellence among all employees?	22,2%	57,3%	20,5%	100%
1.6	Are the objectives of PM clearly stated at your municipality?	39,3%	43,6%	17,1%	100%
1.7	Is monitoring and evaluation of programmes one of the PM objectives?	28,4%	49,1%	22,4%	100%
1.8	Is PMS understood by all managers?	40,0%	48,3%	11,2%	100%
1.9	Is PM regarded as development?	28,5%	50,4%	21,4%	100%
1.10	Is PMS linked to IDP performance planning?	32,5%	50,4%	17,1%	100%
1.11	Is ELM's PMS rolled out in a free, fair and in an equitable manner?	29,3%	62,1%	8,6%	100%
1.12	Does the management ensure that there is sufficient awareness of the PMS?	52,1%	40,2%	7,7%	100%
1.13	Do employees understand how PMS works?	51,1%	39,7%	9,6%	100%

Table 5.1 above feature the percentage of respondents obtained from 117 questionnaires received. 13 items were tested.

5.3.1.1. QUANTITATIVE ANALYSIS

Out of 117 questionnaire respondents, almost 60% of them (waste employees) have the knowledge and understanding of the mission statement of the ELM as well as that of the Municipality's PMS in general. Their responses however indicate a glaring lack of knowledge on the function and implementation of PMS within ELM , for an example:

- 57% of them are not sure whether performance is for developmental purposes aimed at driving performance excellence or a just a mere human resource exercise.
- 32% of them do not know that PMS is linked to the IDP and the general objectives of municipalities
- 78% of them lack of knowledge and uncertainty among most of them on how programmes of the municipality are monitored and evaluated.

This is proof that there is poor knowledge of PMS and its operations in general amongst the waste management employees.

5.3.1.2. QUALITATIVE ANALYSIS

(Refer to Annexure B for full account of interviews held with 14 top managers)

The following statements are a summary of 83% of responses:

- Interviewees have the knowledge of PMS;
- Job descriptions are utilized as tools to gauge performance;
- PMS is available in writing but no capabilities to execute it;
- Municipal performance is strange to some newly appointed managers, especially those who come from other sectors;
- Interviewees admit that the PMS's intent is to develop organizational and individual performance;
- They are also of the opinion that all stakeholders should be engaged in PMS development;
- The PMS objectives are accomplished through top management commitment, but that is not the case at ELM;
- PMS is only applicable at top management level and not subjected to all staff members as stipulated by MSA;
- No qualified officials are there to facilitate PMS in all departments within the Municipality;
- Strategic goals are used by departments as tools to gauge performance;
- Unions regard PMS as an attempt to punish poor performance;

- PMS is not transparent and not in line with strategic goals that are linked to individual performance goals;
- Respondents believe that incentives and performance rewards act as a motivational factor, but some of them seem not to understand the relationship between the evaluation of performance and rewards;
- No training programmes are provided for poor performance as most managers are not equipped in terms of performance management to handle such;
- 8% managers are not for the idea of PMS implementation perceiving it as wasting time, and
- There is a common understanding that the challenges associated with the rolling out of PMS within the Municipality are, among others, lack of financial resources, lack of transparency and unions' suspicion of its intention within the Municipality.

5.3.2. ANALYSIS OF ASSESSMENT OF PMS WITHIN THE WASTE MANAGEMENT UNIT

Table 5.2 below illustrates the synopsis of responses obtained from the population, per item tested, for theme 2, on assessment of PMS within the waste management unit.

TABLE 5.2: THEME 2: Assessment of PMS within the Waste Management Unit at ELM

	THEME 2: ASSESSMENT OF PMS WITHIN THE WASTE MANAGEMENT UNIT AT ELM	RESPONSE IN PERCENTAGES %			
		NO	NOT SURE	YES	TOTAL %
1.1	Does the Waste Management Unit have its PMS?	31,8%	53,6%	14,5%	100%
1.2	Are there any challenges that are encountering in meeting set KPAs for Waste Management unit	42,7%	35,0%	22,2%	100%
1.3	Did you receive/ qualify for a PMS bonus	21,4%	70,9%	7,7%	100%
1.4	Have you undergone relevant sufficient training as per your job description	77,8%	11,1%	11,1%	100%
		NOT AT ALL	MONTHLY	QUARTERLY	YEARLY
1.5	How regular is your performance being evaluated?	73,3%	14,7%	7,8%	4,3%

		NO		NOT SURE	YES	
1.6	Is there uniformity in the evaluation between different departments?	30,2%		61,2%	8,6%	100%
		NEVER	SELDOM	MOST OF THE TIME	YEARLY	
1.7	To what degree was the standard against which your performance is evaluated discussed with you?	78,1%	9,6%	8,8%	3,5%	100%
1.8	To what degree have you attended training course?	75,9%	12,9%	7,8%	3,7%	100%
1.9	To what degree was it necessary for you to undergo the training?	70,6%	13,8%	11,9%	3,7%	100%
1.10	To what degree do you believe bias exist when promotion decisions are made?	64,1%	6,8%	21,4%	7,7%	100%
1.11	To what degree will your job performance affect future promotion?	74,1%	7,8%	11,2%	6,9%	100%
1.12	How frequently do you receive feedback on how you are doing the job?	71,8%	18,8%	6,0%	3,4%	100%
1.13	How frequently are you provided with remedial training to enable you to improve your performance?	78,6%	12,0%	6,8%	2,6%	100%
1.14	Are all staff members exposed to workshops for the achievement of excellence in performance?	60,3%	29,3%	5,2%	5,2%	100%

		NO	NOT SURE	YES	TOTAL %
1.15	Rate your level of knowledge of PM legislation	79,3	14,7%	6,0%	100%
1.16	ELM's Waste Management Unit creates an enabling environment for PM.	27,6%	63,8%	8,6%	100%
1.17	Capacity for effective communication between the PM function and other department is available.	43,1%	50,1%	6,9%	100%
1.18	The PM function promotes capacity building for staff.	38,8%	52,6%	8,6%	100%
1.19	Indicate the factors (challenges) that inhibit an effective PMS in ELM's Waste Management Unit (choose one or more)				
	Lack of consultation				100%
	Lack of understanding of PMS				100%
	The PMS is not inclusive				100%
	Top managers contracts expiring every five years				100%
	Lack of policies and procedures to guide the PMS				100%
	PMS targets are difficult to meet				100%
	The PMS does not address service delivery quarterly				100%
	The PMS is only implemented to meet legislative requirements				100%
	Management is not doing enough to eradicate problems facing PMS implementation				100%

Table 5.2 above feature the percentage of responses obtained from the received 117 questionnaires. As shown above. 19 items were tested.

5.3.2.1. QUANTITATIVE ANALYSIS

One of the main objectives of the Waste Management Unit is to provide communities with clean and healthy environment. The Unit's KPAs are therefore prescribed by the job descriptions of its employees which are essentially to keep the municipality areas in their jurisdiction clean.

32% of the respondents do not believe WMU have its own PMS and 54% are not certain whether the PMS exists as it is confused with job description. Employees believe PMS is likened with their respective job descriptions, hence 42% think they do not encounter problems or challenges in delivering as per their KPAs.

73% of the respondents believe their performance is not evaluated as the result 71% of them is uncertain as to whether they receive their bonuses because of their performance or their entitlement to the 13th cheque.

78% of the respondents believe that employee performance at Waste Management Unit is mostly never discussed within the Unit and as such employees do not undergo sufficient training as per their job descriptions. It is therefore not surprising that 70,6% of respondents do not understand the necessity of undergoing training.

74% of the respondents are of the notion that future promotions or promotion opportunities are not linked to their performance.

72% of respondents believe no feedback is received after the monitoring and evaluation of the KPAs and as a result no remedial training will be undertaken to improve their performance. Initiatives such as performance workshops for the purpose of capacity building are absent as it is agreed by 60% of the respondents

51,3% of the respondents are uncertain that effective communication exists between the PM functions and other departments and that PMS functions promote capacity for the staff because they regard it as being absent.

It is with the above information that it is evident that 78% of employees have poor knowledge of PM legislation.

100% of respondents attribute the following factors as inhabiting PMS as a tool for effective waste control at WMU:

- Lack of consultation;
- Lack of understanding of PMS;
- PMS is not inclusive;
- Directors' contracts expiring every five years;
- Lack of policies and procedures to guide the PMS process;

- PMS targets are difficult to meet;
- The PMS does not address service delivery quarterly;
- PMS is only implemented to meet legislative requirements;
- Management is not doing enough to eradicate problems facing PMS implementation, and
- Lack of understanding that the government intends to alleviate by enforcing PMS.

5.3.2.2. QUALITATIVE ANALYSIS

(Refer to Annexure B for full account of interviews held with 14 top managers)

The following statements are a summary of 67% of the respondents

- There is no PMS to be rolled out only job descriptions are used as measuring instruments at WMU;
- There are enough employees but they are not capacitated to deal with PMS;
- PMS is applicable only at the top management;
- PMS is linked to IDP only on paper but not implemented at WMU;
- Job-descriptions are aligned to individual performance at WMU;
- Rewards and incentives of individual employees at WMU are not linked to PMS at it does not exist;
- Employees believe that they are entitled to annual salary increases and bonuses;
- Poor performance management is hardly exercised at Waste Management Unit, and
- There is a belief that through sustainable learning there are possibilities of improved performance.

5.3.3. ANALYSIS OF ESTABLISHMENT OF PMS MODEL FOR ELM'S WASTE MANGEMENT UNIT

Table 5.3 below illustrates the synopsis of responses obtained from the population, per item tested for theme 3, on establishment of PMS model for ELM's Waste Management Unit.

Table 5.3: THEME 3: Establishment of PMS Model for ELM's waste Management Unit

	THEME 3: ESTABLISHMENT OF PMS MODEL FOR ELM'S WASTE MANAGEMENT UNIT	RESPONSE IN PERCENTAGES (%)			
		NO	NOT SURE	YES	TOTAL %
1.1	Effective implementation of PM requires a PM model.	24%	38.5%	27,4%	100%
1.2	Does the Waste Management Unit have a PM model?	35,9%	48,7%	27,4%	100%
1.3	Is the PM model fully operational?	44,4%	48,7%	15,4%	100%
1.4	Is the model effectively used to measure performance of "targets-outputs-outcomes"?	44,4%	47,0%	6,4%	100%
1.5	Is the PM model used by other departments?	31,6%	59,8%	8,5%	100%
1.6	Is the PM model understood by employees?	50,4%	41,0%	8,5%	100%
1.7	Does the PM model ensure customer satisfaction?	33,6%	60,3%	6,0%	100%
1.8	Employees have the positive attitude towards PM model.	41,2%	52.6%	6,1%	100%
1.9	The PM model shows where the progress is blocked.	40,5%	49,1%	10,3%	100%
1.10	Are there enough resources to implement a PMS model?	40,9%	50,4%	8.7%	100

5.3.3.1 QUANTITATIVE ANALYSIS

Table 5.3 above feature the percentage of responses, obtained from 117 questionnaires received. 10 items were tested.

The employees' knowledge of PMS is very poor and as a result there are uncertainties about the existence of the PM model. Most of the employees at WMU are not sure whether it has the PM model that is operational and that is used to:

- measure performance of “targets-outputs-outcome;”
- to ensure customer satisfaction, and
- to show where the progress is blocked.

5.3.3.2. QUALITATIVE ANALYSIS OF THE ESTABLISHMENT OF PMS MODEL FOR ELM’S WASTE MANAGEMENT UNIT

(Refer to Annexure B for full account of interviews held with 14 top managers)

The following statements are the summaries of 91% of the respondents:

- No PMS model is in place and operational at WMU of ELM;
- PM models are designed to trace improve performance;
- PMS model is by legislation linked to the WMU’s expectations as required by IDP but does not exists except the job description;
- Job descriptions and departmental strategic objectives are used as PM model to measure performance;
- Job description are compared to as the individual scorecard,
- And Job descriptions do not address remedial training when poor performance is identified.

5.3.4. ANALYSIS OF SOLUTIONS THAT CAN PROMOTE EFFECTIVE PMS WASTE MANAGEMENT UNIT

Table 5.4 below illustrates the synopsis of responses obtained from the population, per item tested for theme 4, on solutions that can promote effective PMS at WMU.

Table 5.4: Theme 4: Solutions that can promote effective PMS at Waste Management Unit

	THEME 4: SOLUTIONS THAT CAN PROMOTE EFFECTIVE PMS AT WASTE MANAGEMENT UNIT	RESPONSE IN PERCENTAGES (%)			
		AGREE	NOT SURE	DO NOT AGREE	TOTAL %
1.1	Performance management systems should be in place and operational across all the ELM's departments.	81,1%	18,9%	00%	100%
1.2	PM model should be uniform across all the ELM's departments.	72,8%	21,1%	6,1%	100%
1.3	Employees should be involved in performance management cycle of the ELM.	78,8%	18,6%	2,7%	100%
1.4	Managers and supervisors should be committed to PMS of the ELM's Waste Management Unit	71,9%	24,6%	3,5%	100%
1.5	The Performance Audit Committee should be functional in all departments	62,8%	35,4%	1,8%	100%
1.6	Performance management should aim at improving the employees' current performance and productivity.	67,5%	28,9%	3,5%	100%
1.7	Training and development needs of employees should be assessed.	72,8%	24,6%	2,6%	100%
1.8	Good relations between employees and directors/managers should be encouraged	70,9%	26,5%	2,6%	100%
1.9	PMS should be implemented in accordance with the legislative requirements.	70,4%	25,2%	4,2%	100%
1.10	The KPIs and targets of the Waste Management Unit should be based and linked to the IDP and SDBIP.	68,4%	31,6%	00%	100%
1.11	The objectives of the Waste Management Unit should be derived from community inputs and arrived at through community consultation.	73,0%	20,9%	6,1%	100%
1.12	Individual scorecards should not be limited to the municipal managers and directors but should be stretched across the municipal employ.	73,0%	23,5%	3,5%	100%
1.13	The Waste Management Unit should develop the performance management model that is in line with that of the entire municipality.	80,2%	17,2%	2,6%	100%
1.14	Every employee at Waste Management Unit should complete and enter into an annual performance agreement with the municipality	74,1%	22,4%	3,4%	100%

1.15	The performance agreements to be used should be based on the type of the duty that is expected as there are different levels of duties.	76,1%	20,5%	3,4%	100%
1.16	All role-players should be involved in rolling out the PMS and their responsibilities should be clear.	81,0%	13,8%	5,2%	100%
1.17	Employees should be informed that the appraisal interview is an interactive process to give constructive recognition to the duties fulfilled by them (employees) and to pinpoint areas where the employees can develop further.	78,6%	18,8%	2,6%	100%
1.18	Employees should be given the feedback in a positive manner on all aspects measure in terms of the appraisal.	87,1%	8,6%	4,6%	100%
1.19	An incentive and reward system brought about PMS should be in line with local government legislation given by DPLG AND SALGBC.	80,9%	16,5%	2,6%	100%
1.20	PMS should be structured in the manner that individual performance ensures alignment of individual goals and objectives with that of the organization and to coordinate efforts in order to achieve those goals.	86,7%	10,6%	2,7%	100%
1.21	There should be channels of communication in place for effective performance management	89,6%	7,0%	3,5%	100%
1.22	There should be development of employees identified through the performance management process of planning, coaching and rewarding performance.	83,5%	15,7%	0,9%	100%
1.23	The tools for measuring performance at Waste Management Unit should include strategies that (i) establish goals and measuring results, (ii) justification and quantification of resources, (iii) organizational development and (iv) motivating employees.	83,6%	14,7%	1,7%	100%
1.24	Employees should be consulted about specific performance standards that will be included in the PMS as applicable to managers.	85,6%	11,2%	3,4%	100%
1.25	Employees at Waste Management Unit should agree to participate in the PMS that the employer adopts or introduces for municipality.	73,3%	23,3%	3,4%	100%

The value in Table 5.4 above, feature the percentage of response obtained from 117 questionnaires received. 25 items were tested.

5.3.4.1 QUANTITATIVE ANALYSIS

To promote effective PMS at Waste Management Unit, 76% of respondents agreed that PMS should be in place and operational across all the departments at ELM and have the uniform PMS model for all departments including the WMU.

62% of respondents agree with the fact that there should be a single Performance Audit Committee (PAC) that is functional across all the departments and PMS should be implemented in accordance with the legislative requirements.

74% of the respondents agree with the fact that all of them should be subjected to performance management and enter into an annual performance agreement with the municipality. Such PM should be based on the type of the duty that is expected of them as there are different levels of duties. In this regard 79% of respondents agree that they should be informed that appraisal interviews are interactive processes to give constructive recognition to the duties fulfilled by them and to pinpoint areas where the employee can develop.

80% of respondents agree with the fact that, incentives and reward systems brought about PMS should be in line with the local government legislation given by DPLG and SALGBC.

A very few 3,4% the respondents of the employees who do not want to agree on the solutions for effective PMS at WMU are those who are staunch union members and who are very influential. These employees perceive PMS as a way of punishing poor performance and of putting their jobs on the line.

5.3.4.2 QUALITATIVE ANALYSIS

(Refer to Annexure B for full account of interviews held with 14 top managers)

The following statements are a summary of 92% of respondents as per three themes:

1. The perceptions of PMS in a municipal context

- PMS should be viewed as helping staff to improve their performance and pinpoint problematic areas for correction;
- PMS should not be viewed as a way of punishing poor performance but as a move to attract and develop employees;
- PMS must have clear objectives and be perceived as strategic tools to enhance accountability amongst stakeholders;
- All employees should be subjected to PM as required by the legislation. It should not belong to the top management only;

- There should be a sustainable communication with employees on municipal goals;
- All municipal departments should use one type of PMS and all staff should be engaged in the development of PMS;
- The collective endeavour of both the staff and the municipality will prompt organisation success;
- The excellent performance should be rewarded. Decision regarding rewarding employees should be based on Performance Appraisal (PA), and
- Poor performance should be addressed by providing proper training (HRD).

2. Assessment of PMS at the ELM's Waste Management Unit

- The WMU should use the PMS that is in line with the ELM's PMS and strategic goals and all employees at Waste Management Unit be engaged in the development of PMS.
- Objectives of the PMS at WMU should be clear and easy to measure.
- Job descriptions should be replaced by PMS that is consistent with that of ELM.
- PM should be decentralised and channels of communications be cascaded from top management to line managers.
- The managers and staff should be developed through PM processes. Managers and administrators at WMU should be qualified and inventive in terms of PMS. There should be development policy.
- Training and development should be linked to the requirements of the individual PMS.
- The Council should remain the main oversight body to ensure PMS is executed as entailed in the legislation.
- The WMU should be in line with the IDP and its targets and KPI's be linked to strategic goals of the IDP.
- The performance of WMU should be linked to individual performance as required by section 57 of MSA but it should be cascaded down throughout the hierarchy of the WMU.
- WMU should develop the PA system that is in line with that of the ELM in rewarding or providing incentives for employees.
- Unions should be persuaded on affirming with the PA processes.
- Reward and incentive system should not be in conflict with any local government legislation stipulated by SALGA and SALDBC.
- There should be a systematic remedial or developmental support to help the employees to improve his or her performance.

3. The importance of PM model at Waste Management Unit

- ELM and its department (including WMU) should have a tool of measuring and comparing performance.
- WMU should find benchmarks to learn how they are achieving high performance levels.
- There should be a common model used at ELM that is linked to the performance expectations of the ELM with its IDP.
- The model should be used by all the departments.
- Managers believe the type of model to be used should be a balanced scorecard as adopted through SALGA HRD Conference in 2004.
- Such a chosen model should suit the circumstances of the entire municipality and that of the WMU and be understood by all employees and be within the capabilities of current leadership.

5.3.5. ANALYSIS OF THE VIEWS OF THE COMMUNITY ON THE PERFORMANCE OF WASTE MANAGEMENT UNIT

Table 5.5 below illustrates the synopsis of responses obtained from the population, per item tested on views of the community on performance of Waste Management Unit.

TABLE 5.5 VIEWS OF THE COMMUNITY IN TERMS OF THE PERFORMANCE OF WASTE CONTROL WITHIN THEIR MUNICIPAL AREA (ELM)

	VIEWS OF COMMUNITY IN TERMS OF THE PERFORMANCE OF WASTE CONTROL WITHIN THEIR MUNICIPAL AREA (ELM)	RESPONSE IN PERCENTAGES (%)			
		WEEKLY	MONTHLY	NOT AT ALL	TOTAL %
1.1	How often is refuse collected in your community?	88,7%	5,2%	6,2%	100%
		YES		NO	
1.1	Have you ever been provided with wheelie type bins?	22%		77,1%	100%
		YES	NOT SURE	NO	
1.2	Do you find your area dirty due to uncollected refuse and illegal dumping areas?	66,7%	18,8%	14,6%	100%

		EMPLOYEES	COMMUNITY	BOTH	
1.3	Do you attribute the above to poor performance of waste management to employees or the negligence of the community?	18,9%	20,0%	61,1%	100%
		YES	NOT SURE	NO	
1.4	Are there situations where the week goes by without collected refuse?	74,2%	7,2%	18,6%	100%
1.5	Are waste management by-laws enforced in your area?	19,6%	47,4%	33,0%	100%
1.6	Do you think jobs will be created through recovery and recycling processes and as a way of waste minimization, waste avoidance and waste collection?	69,1%	26,8%	4,1%	100%
1.7	Is there any constant communication between the community and the municipality in terms of the performance management particularly of waste management unit?	9,4%	37,5%	53,1%	100%
1.8	Does your community take their own initiatives to minimize waste without the help of the municipality?	11,3%	18,6%	70,1%	100%
1.9	Do you think waste management as a basic service receives adequate attention like other basic services?	54,8%	10,8%	34,4%	100%
		COMMUNITY	WASTE MANAGEMENT UNIT	BOTH	
1.10	Who should be blamed for illegal dumping? Is it the community itself or the waste management unit?	24,0%	24,0%	52,1%	100%
		YES	NOT SURE	NO	
1.11	Do you think it is important that the waste management unit should provide the feedback to the community concerning the performance of the waste management unit?	79,4%	17,5%	3,1%	100%

1.12	Given the high incidence of illegal dumping and diseases that are attributed to unhygienic living conditions, do you think there should be a model or an instrument to persuade community participation in waste minimization?	56,7%	33,0%	10,3%	100%
1.13	Do you encourage the residents to pay for their basic services for sustainable waste collection?	49%	18,8%	32,3%	100%
1.14	Do you think the absence of appropriate guidelines for optimum public participation in decision-making is a source of confusion and lack of direction, rendering it impossible to deliver on waste minimization?	57,3%	38,5%	4,2%	100%
1.15	Do you attribute poor waste collection to the following?				
	The population growth		82,5%	17,5%	
	Lazy employees		85,6%	14,4%	
	Shortage of employees		77,2%	22,8%	
	Insufficient funding from municipality		75,5	24,5%	
	Some areas are given first preference than others		89,6%	10,4%	
	No awareness campaign on matters of waste management		89,5%	10,5%	
	Vehicle breakdown		72,0%	28,0%	
	Limited road access and infrastructure in informal settlement		77,7%	22,3%	

Table 5.5 above, feature the percentage of responses obtained from 97 questionnaires. 15 items were tested.

5.3.5.1. QUANTITATIVE ANALYSIS

Out of 150 questionnaires issued to the community members only 97 returned with responses. Most respondents in this regard are middle aged with 32% and above (46-55 and 56+) sharing 19% respectively.

Waste is collected weekly even though there are weeks that go-by without refuse being collected and the community do not take initiative to minimize waste without the help of the municipality. As the result 61% of the participants attribute this poor performance to both the employees and negligence of the community.

A total of 66, 7% find their respective areas dirty due to uncollected refuse and illegal dumping.

A total of 54% of participants believe waste management does not receive adequate attention like other basic services hence there is no constant communication between the community and the municipality in terms of performance management and no feedback is given to the community concerning PMS of WMU. In support of these claims, participants cited the fact that by-laws are also not enforced in many areas of ELM.

A total of 70,1% of respondents indicated that the community does not take initiatives to minimize waste whereas 56, 7% of them agree that there should be an instrument or a model to persuade the community to participate in matters of waste minimization. 57, 3of the respondents believe that the lack of appropriate guidelines for public performance in decision- making is a source of confusion and lack of direction rendering it impossible to deliver on waste minimization.

It also emerged that 49% of the participants agree that the residents should pay for their basic service for sustainable waste collection whilst 32,2% of them would not encourage residence to pay for basic services. 18, 8% indicated that they are not sure about such a move.

About 70% of the respondents agree that poor waste collection is attributable to the following:

- The population growth;
- Lazy employees;
- Shortage of employees;
- Insufficient funding from municipalities;
- Some areas are being given first preference than others;
- No awareness campaigns on matters of waste management;
- Vehicle breakdown, and

- Limited road access and infrastructure in informal settlements.

5.5. CHAPTER SUMMARY

From the research findings outlined above it is evident that there are no efforts made to have the PMS as a tool to promote effective waste control at ELM. PMS as a tool for promoting effective waste control was interpreted through data collected from a survey as well as from the face to face interviews which were conducted as part of this study. Upon analysis and interpretation of the quantitative and qualitative data, a set of findings were produced for each four themes relating to the research problem and research objectives. These themes are listed below as follows:

- Performance management in the context of municipalities;
- Assessment of PMS within the Waste Management Unit at ELM;
- Establishment of PMS model for Waste Management Unit, and
- Solutions that could promote effective PMS at waste management.

The researcher is confident that the methodology used in this study resulted in findings that may be used to help the Waste Management Unit to think about the PMS as a tool for promoting effective waste control and the mechanisms that could be used by the Unit to meet the expectations of the ELM as a whole and those of the community in terms of performance management.

It can be concluded from the analysis conducted in this chapter that there are many challenges and much need to be done in order to successfully implement PMS in Waste Management Unit of ELM.

The next chapter, which is chapter six will present the conclusion and recommendations regarding the PMS that will serve as a tool for effective waste control.

CHAPTER 6

FINDINGS AND RECOMMENDATIONS

6.1. INTRODUCTION

The data collected from the literature study and the information received from the analysis of the questionnaires were taken into consideration to reach the findings regarding the non- use of the PMS within the Waste Management Unit.

This chapter will discuss the conclusions as findings of this study as well as provide the rationale for the recommendations of an appropriate PMS as tool for effective waste control within ELM. The recommendations in this regard will be assigned to each theme and compiled as a framework for PMS as a tool for effective waste control.

6.2. DISCUSSION OF FINDINGS

The lesson learnt when conducting this research could be of assistance to the management or leadership of both the Waste Management Unit and the Emfuleni Local Municipality on all issues relating to performance management across all levels of staff. Key findings of this study are discussed below.

6.2.1. FINDINGS FROM THEME 1: PERFORMANCE MANAGEMENT IN THE CONTEXT OF MUNICIPALITIES

There is lack of knowledge of PMS among Waste Management Unit employees at lower level ranks. Employees do not know how monitoring and evaluation of municipal programmes are conducted. Sufficient knowledge of PMS is only at management level even though it is limited to Section 57 managers. The PMS is resisted by unions, citing the lack of financial resources, capacity, transparency and lack of trust of the managers as reason.

Job description is used to measure performance of the individual employees instead of PMS. Departments use strategic goals to measure performance. As a result the following are not applicable:

- qualified PMS facilitators;
- training programmes for poor performance, and
- reward and incentive systems.

6.2.2. FINDINGS FROM THEME 2: ASSESSMENT OF PMS WITHIN THE WASTE

MANAGEMENT UNIT AT ELM

No PMS is applied at Waste Management Unit and as the result job descriptions are used as a measuring stick of performance. Section 57 managers are only subjected to PM as they are the ones who manage the IDP and are contract bound.

Individual performance at WMU is never discussed with the employees leading to uncertainty as to how bonuses are paid and which criterion is used for such payments. The implication is that no reward and incentive systems are in place and that they are not in line with their respective job descriptions.

No training or development programmes exist for employees at WMU to improve their performance as such employees do not see any need to undergo capacity development programmes if they are available.

When KPIs as described from their job descriptions are monitored and evaluated no feedback is received. In real essence there is no constant communication between employees and managers in terms of their performance at the WMU.

The absence of consultation, policies and procedures as well as the lack of understanding regarding what PMS is all about is the reason why it is poorly implemented in the WMU.

6.2.3. FINDINGS FROM THEME 3: ESTABLISHMENT OF PMS MODEL FOR ELM'S WASTE MANAGEMENT

No PMS is applied at WMU and within the entire ELM. This means that no PM model exists. There are mixed feelings as to how PMS and its model should be received.

6.2.4. FINDINGS FROM THEME 4: SOLUTIONS THAT CAN PROMOTE ON THE EFFECTIVE PMS AT WASTE MANAGEMENT

Due to the fact that is no functional PMS exist at WMU, below are suggested solutions that both managers and staff believe could help improve and promote effective PMS within the Unit:

- Job descriptions alone are not enough to measure performance.
- Employees believe there should be a PMS and a type of a PM model that are operational across all departments including theirs (WMU). In other words PMS should be decentralized and be in line with the ELM's strategic goals.
- PMS objectives should be clear, easy to measure and be viewed as strategic tools that are in line with IDP.

- All employees should be subjected to PM and enter into annual performance agreements as per their job descriptions as required by MSA.
- It is important that the staff be engaged in the development of PMS.
- PMS should be perceived as developmental, not as punitive and it should aim at detecting or tracing poor performance and improve it through training and capacity building that is linked to requirements of individuals.
- There should be a development policy for managers and administrators at WMU should be qualified and incentive in terms of PMS.
- There should be channels of communication that are cascaded from top management to line managers and eventually to lower ranks of the hierarchy at Waste Management Unit.
- Sustainable communication with employees on municipal goals is imperative and that will help in detecting progress, reporting on any changes and provide remedial or development support.
- Outstanding performance should be rewarded based on the effective and fair Performance Appraisal (PA) that is not in conflict with SALGA and SALGBC.
- All the staff and Unions should be engaged in the development of reward and incentive system.
- The WMU should develop the PM model that is in line with that of the ELM and its IDP and should suit the circumstances of the ELM and the Unit.
- The WMU should find benchmarks for the purpose of comparing and learning from other WMU of other municipalities.
- A balanced scorecard that was adopted by SALGA HRD Conference in 2004 could be ideal for both ELM and WMU.

6.2.5. FINDINGS FROM VIEWS OF THE COMMUNITY IN TERMS OF THE PERFORMANCE OF WASTE CONTROL WITHIN THEIR MUNICIPAL AREA

- Waste is supposed to be collected every week but some weeks go-by without waste being collected.
- There are still illegal dumping and areas that are dirty due to uncollected waste.
- Waste by-laws are not enforced in most places within the ELM area.
- No communication between the community and the Waste Management in terms waste collection issues exist and public participation is limited).
- Waste Management is not viewed as one of the priority areas for delivery of basic services.
- The community is not helping in minimizing waste, e.g. no initiatives are made to minimize waste.
- There is reluctance from residence to pay for basic services.

- Factors such as population growth, lazy employees, shortage of employees, insufficient funding from municipalities, some areas being given first preference than others, no awareness campaigns, vehicle breakdown, limited road access and lack of infrastructure in informal settlements all contribute to poor waste collection.

6.3 RECOMMENDATION

The recommendations will be based on **3 themes** as the forth theme has been used as solutions or recommendations of PMS for effective waste control.

6.3.1 Recommendations on PMS in the context of the municipalities

- There is a need to communicate and to engage the employees in the development of the mission statement of the Unit. Employees' views and inputs should also be considered when setting performance goals.
- PMS should be in place and operational across all departments. All departments should be subjected to the common or uniformed evaluation system based on the same standards and integrity. To achieve this, the ELM should establish a PM Unit with qualified, knowledgeable and committed staff and managers to direct, manage and assess the performance of employees with the intention to cascade PMS process downwards.
- PM should be meant to attract and to develop staff by deploying enough resources of monitoring and evaluation as its.
- Managers should spell out the benefits of having PMS in place and convince the staff or those involved not perceive PMS as a punitive tool.
- PMS should be viewed as an effort of each employee to measure his/her abilities and prepare a plan on how to develop from any shortcomings.
- The execution of PMS should be within the legislative demands.
- Individual employees must own their performance standards and must ensure that they are in line with the departmental goals. The departmental or strategic goals must in turn be in line with the ELM's goals. To ensure such, alignment, quality planning standards at the level of departments, control of finances, inputs and outputs should be executed. This advice gives energy for growth and display the culture of performance within the ELM. The ELM's objectives should be

implementable, measurable, clear and comprehended by all the employees and be attached to the strategic programme of the ELM and integrate the sustainable public engagement. There should be performance agreement set annually between managers/ supervisors and individual employees, methods of assessing performance to be use consensus on what is perceived as poor performance, and the reward systems.

- The scope of training and development of employees should be measured. In this regard the culture of learning must be encouraged through providing necessary resources to employees with the intentions to improve their skills and their performance. The ELM should take the responsibility for the systems that will make sure the expected capacity is achieved as defined by the PMS functions and come up with expertise and competency to implement the management and measurement of ELM's performance. Such systems include skill training, Personal Growth Plans (PGPs) and management development.
- There should be a continuous monitoring of all employees' performance. It should be noted that such monitoring should not be a once off annual event but an ongoing process. Problems associated with performance that employees come across with should be attended to as early as possible.
- All stakeholders should find a suitable approach in dealing with labor unions to ensure that they buy into the idea of PMS. This is essential because most employees have problems with change in general as a result they, through their unions could resist a unilateral implementation of PMS by management.

6.3.2. Recommendations on the assessment of PMS at WMU

- WMU must have a PMS that is in line with the PMS of the ELM. Such a PMS should also be within the parameters of the MSA and should be cascaded down throughout the hierarchy of the WMU.
- Objectives of PMS at WMU should be clear and easy to measure.
- PMS should be a general system utilized to strengthen commitment between the employee and the organizational efficiency, effectiveness and economy.
- An attempt should be made by stakeholders to have agreement on the types of goals to be achieved between the individual, WMU and the ELM as the whole

and should support each other in coordinating the efforts in order to achieve those goals.

- Employees should be involved in Performance Appraisal process and be made aware that appraisal interview is a process to provide objective recognition to their performance and to pinpoint areas that need improvement.
- The acceptable and well-timed feedback should be afforded to employees and all the stakeholders by managers on matters and processes of rewarding good performance. There should be clear and real definition of what “good performance really”, implies and that it can be as the motivational instrument. It should be clear to all employees and stakeholders that the fruit of success in the WMU will be exercised and realized by those who have committed to the meaningful contribution.
- Performance assessment at WMU should be utilized to inform decisions on promotion matters on those employees who score high on their performance and receive the promotion they deserve.
- Managers should evaluate the skill level of their employees on a continuous basis to determine the remedial training or further development courses. Employees should be acquainted with standards against which their performance will be assessed.
- Training and development programmes for WMU employees should be established to improve performance and be strengthened in ensuring that PMS is successful.
- Managers should consult with their subordinates in compiling Performance Management Plan (PMP) of the WMU together, so as the individual goals and WMU goals are compatible with each other.
- The purpose of PMP should be to record, analyse and distribute performance information and it should include the determination of indicators, the collection of baseline information of each indicator, setting targets and linking the indicators and targets to the performance commitment of the staff (Du Plessis,2005:152).
- An effort should be made to have more goal congruence between individuals and managers on performance appraisal and should be used as a motivational instrument WMU and the ELM as a whole.

- Employees at WMU should agree to participate in the PMS that the ELM adopts or introduces and should be structured in the manner that individual performance ensures alignment at individual goals and objectives with that of the ELM and to coordinate efforts in order to achieve those goals.
- Employees should be engaged during Performance Appraisal and be informed that the appraisal interview is an interactive process to give constructive recognition to the duties fulfilled by them and to pinpoint areas where the employees can develop further.
- Proper and timely feedback should be given to all employees with regard to process leading to the reward of good performance. There should be a proper definition of what “good performance” actually entails.
- The management at WMU should implement a reward and incentive system that is clear and known to all stakeholders, so that only the employees who perform well will receive bonuses. This can be used as a motivational tool. The ultimate purpose goal should be that the fruit of success in the WMU will be employed and reaped by all who made a meaningful contribution.
- Performance evaluation at WMU should be used for promotion decisions, so that the employee with the highest ‘performance point’ will receive the promotion.
- Managers should communicate with their employees on a regular basis and inform them about issues that will affect them or will be affected by them in terms of PMS in implementation process. Employees need to be aware of the standards against which their performance will be evaluated.
- Managers need to assess their employees’ skill level on a regular basis to decide on remedial training or further development courses.
- There is a need to have training or development programmes for employees at WMU to improve their performance.
- Training and awareness campaign should be enhanced so as employees should take part in ensuring PMS is successful and not to take in PMS as the compliance issue.

- Managers should consult with their and they should compile Performance Management Plan (PMP) of the WMU together, in order to bring individual goals and WMU goals in line with each other.
- The PMP should be developed to record, analyse and distribution performance in information.
- The PMP should include the development of indicators, the collection of baseline information for each indicator, setting target, and linking the indicators and targets to the performance commitment of staff(Du Plessis, 2005:129)
- Individual PMP for all employees must be established so as the management can monitor and review employees' performance throughout the year.
- According to Du Plessis (2005:152) the ideal PMP for individual employees will define the performance that is expected of a certain employee and will consist of the following:
 - A statement of the purpose of the position;
 - A scorecard, detailing the key objectives and their related performance indicators weightings and target dates;
 - Information about the knowledge, skills and behavior required to perform the job;
 - A performance review procedure;
 - A consolidated score sheet;
 - A linkage to reward;
 - An individual learning plan;
 - A control sheet, and
- A shortened description of the proposed PMP for individual as presented by SALGA (2004: 51-61) can be seen in Annexure C.

6.3.3. Recommendations on the establishment of the PM model at WMU

- It is recommended that the WMU should establish how other municipalities are handling their PMS. This will assist the Unit in benchmarking itself against the best in the sector.
- The instrument of benchmarking established through the exercise referred to above be utilized to track and control the efficiency and quality to service delivered at WMU.

- In order for the Unit to execute PMS successfully is recommended that it establishes a workable PM model implementation.
- It is also recommended that the Unit substitutes the job description with the PM model suggested above and that this be duplicated across all other departments within ELM as demanded by the IDP process.
- The PM model suggested above should be used as an instrument to measure the inputs and outcomes of the entire ELM and should be visible, functional and understood by everybody.
- It is further recommended that the PM model suggested above be viewed as the management instrument that meets the requirements for development and change within the WMU and that it should also be used in measuring community engagement, customer satisfaction and organizational openness concurrently.
- The PM model should stimulate the culture of performance.
- The PM models such as balanced scorecard and municipal scorecard that were explained in chapter three and four respectively could be suitable models to measure the ELM's performance and that of all the departments including the WMU's performance. It is therefore recommended that these models be standardized and be inclusive of all stakeholders.

6.3.4 Recommendations based on community participation

- The community should be involved in the development of PMS as well as in the reviewing process by attending all relevant meetings called upon by the ELM.
- Awareness campaigns that involve all key stakeholders such as ELM's officials, WMU's officials, councilors and the public are important for effective and sustainable waste management. It is important to select the communication channel and resources that are suitable for each target audience and for the specific circumstances at WMU. Examples include; billboards, booklets, campaigns, exhibitions, education on sites, flyers and personal visits.
- There should be a move towards waste reduction, recycling and re-use of materials instead of landfilling. Community members who want to help voluntarily should be afforded the opportunity to do so and be reimbursed.

- The WMU should provide projects' waste workers with appropriate materials to move in between the household dwellings to reach inaccessible areas plagued by waste. Public participation in such an initiative is highly recommended and encouraged.
- Waste management by-laws should be imposed to prevent and outlaw illegal dumping of waste. Authorized officials should issue spot fines to offenders and be treated according to the "polluter pays-principle".
- There is a need to establish a Waste Management Committee which will be responsible for formulating rules with the help of the community. A set of punitive measures for the breach of any rule should be in place and communicated to each household by members of the committee. The rules should be within the ambits of waste management by-laws. The WMU have to initiate and recognize these committees as part of the management team that is responsible over community participation in WMU and be subjected to performance management.
- There is a need to re-introduce the concept "Restore Dignity" concept which is the project aimed at cleaning the illegal dumping with the community.
- There is a need for sustainable weekly household services through increasing resources such as manpower and increased numbers of vehicles to avoid waste go uncollected because of vehicle breakdowns.
- Community consultation must be done in accordance with legal prescriptions through the ward committee established by ELM. The community must, on an annual basis, be afforded the opportunity to comment on waste issues. The White Paper on Transforming Public Service Delivery (Batho- Pele) puts forward eight principles for good public serves which should be integrated in a municipal PMS, this should be applied at WMU; namely, consultation, service standards, Access, courtesy, information, openness and transparency, redress, value-for-money.
- WMU needs constant feedback for service-users for the purposes of improving its operations.
- Community participation should create opportunities for deliberation and decision making for community collaborating with WMU managers. The community should participate in performance assessment programmes and document the quality of outcomes, share intellectual resources, sustain collaboration with the WMU and promote transparency and accountability.

6.4 CHAPTER SUMMARY

The study has undertaken to assess the PMS as a tool for effective waste control at ELM. The solutions to the research problem and research objectives were achieved in a comprehensive and integrated manner.

Chapter two dealt with the international perspectives on efficient performance management and chapter three and four dealt with the theoretical exposition on municipal performance management and overview of performance management at Waste Management Unit at ELM. Chapter five provided a quantitative and qualitative analysis and interpretation of data with the WMU at ELM on effectiveness of PMS as the tool for promoting effective waste control.

The findings in this chapter provided an answer to the research problem and recommendations fulfilled the fourth objective of the study. The findings in the study concur with the hypotheses mentioned earlier. The recommendations offered a perspective on what the PMS function should conform to and delivered basis for the construction of a guide that will assist the ELM as well as the WMU in making improvements in managing and measuring performance. The future research may seek to establish whether the PMS really contributed to the success of and long-term survival of the WMU as well as that of ELM and whether the results of the WMU are objectively improved through the use of a PMS.

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ANNEXURE A

THEME 1: PERFORMANCE MANAGEMENT IN THE CONTEXT OF MUNICIPALITIES

1. Do you know and understand the mission statement of the municipality?

NO	NOT SURE	YES
----	----------	-----

2. Do you really know what performance management system is?

NO	NOT SURE	YES
----	----------	-----

3. Is there uniformity in the evaluation of performance between different departments?

NO	NOT SURE	YES
----	----------	-----

4. Are all employees sufficiently informed about performance management?

YES	NO
-----	----

5. Is performance management meant to drive performance excellence among all employees?

NO	NOT SURE	YES
----	----------	-----

6. Are the objectives of performance management clearly stated at your municipality?

NO	NOT SURE	YES
----	----------	-----

7. Is monitoring and evaluation of programmes one of the performance management objectives?

NO	NOT SURE	YES
----	----------	-----

8. Is performance management system understood by all managers?

NO	NOT SURE	YES
----	----------	-----

9. Is performance management regarded as developmental?

NO	NOT SURE	YES
----	----------	-----

10. Is performance management system linked to IDP performance planning?

NO	NOT SURE	YES
----	----------	-----

11. Is ELM's performance management system rolled out in a free and fair and in an equitable manner?

NO	NOT SURE	YES
----	----------	-----

12. Does the management ensure that there is sufficient awareness of the PMS?

NO	NOT SURE	YES
----	----------	-----

13. Do employees understand how PMS works?

NO	NOT SURE	YES
----	----------	-----

THEME 2: ASSESSMENT OF PMS WITHIN THE WASTE UNIT AT ELM

1. Does the Waste Management have its PMS?

NO	NOT SURE	YES
----	----------	-----

2. Are there any challenges that are encountered in meeting set KPAs for ELM's Waste Management Unit?

NO	NOT SURE	YES
----	----------	-----

3. Did you receive/ qualify for a PMS bonus?

NO	NOT SURE	YES
----	----------	-----

4. Have you undergone relevant sufficient training as per your job description?

NO	NOT SURE	YES
----	----------	-----

5. How regular is your performance being evaluated?

NOT AT ALL	MONTHLY	QUARTERLY	YEARLY
------------	---------	-----------	--------

6. Is there uniformity in the evaluation between different departments?

NO	NOT SURE	YES
----	----------	-----

7. To what degree was the standard against which your performance is evaluated discussed with you?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

8. To what degree have you attended any training courses?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

9. To what degree was it necessary for you to undergo the training?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

10. To what degree do you believe bias exists when promotion decisions are made?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

11. To what degree will your job performance affect future promotion?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

12. How frequently do you receive feedback on how you are doing the job?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

13. How frequently are you provided with remedial training to enable you to improve your performance?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

14. Are all staff members exposed to workshops for the achievement of excellence in performance?

NEVER	SELDOM	MOST OF THE TIME	ALWAYS
-------	--------	------------------	--------

15. Rate your level of knowledge of PM legislation

POOR	MODERATE	GOOD
------	----------	------

16. The ELM's Waste Management Unit creates an enabling environment for PM

NO	NOT SURE	YES
----	----------	-----

17. Capacity for effective communication between the PM function and other department is available

NO	NOT SURE	YES
----	----------	-----

18. The PM function promotes capacity building for staff.

NO	NOTSURE	YES
----	---------	-----

19. Indicate the factors (challenges) that inhabit an effective PMS in ELM's Waste Management Unit (choose one or more).

Lack of consultation	
Lack of understanding of PMS	
The PMS is not inclusive	
Top managers contracts expiring every five years	
Lack of policies and procedures to guide the PMS	
PMS targets are difficult to meet	
The PMS does not address service delivery quarterly	
The PMS is only implemented to meet legislative requirements	
Management is not doing enough to eradicate problems facing PMS implementation	
Lack of understanding that the government intends to achieve by enforcing PMS	

THEME 3: ESTABLISHMENT OF PMS MODEL FOR ELM'S WASTE MANAGEMENT

1. Effective implementation of performance management requires a performance management model

NO	NOT SURE	YES
----	----------	-----

2. Does ELM's Waste Management Unit have performance management model?

NO	NOT SURE	YES
----	----------	-----

3. Is the PM Model fully operational?

NO	NOT SURE	YES
----	----------	-----

4. Is the model effectively used to measure performance of "targets-outputs-outcomes"?

NO	NOT SURE	YES
----	----------	-----

5. Is the PM model used by other departments?

NO	NOT SURE	YES
----	----------	-----

6. Is the PM model understood by employees?

NO	NOT SURE	YES
----	----------	-----

7. Does the PM model ensure the customer satisfaction?

NO	NOT SURE	YES
----	----------	-----

8. Employees have a positive attitude towards PM model?

NO	NOT SURE	YES
----	----------	-----

9. The PM model shows where the progress is blocked?

NO	NOT SURE	YES
----	----------	-----

10. Are there enough resources to implement a PMS model?

NO	NOT SURE	YES
----	----------	-----

THEME 4: SOLUTIONS THAT CAN PROMOTE EFFECTIVE PMS AT WASTE MANAGEMENT UNIT

1. Performance management systems should be in place and operational across all the ELM's department.

AGREE	NOT SURE	
-------	----------	--

2. PM Model should be uniform across all the ELM's department

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

3. Employees should be involved in performance management cycle of the ELM

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

4. Managers and supervisors should be committed to PMS of the ELM's Waste Management Unit

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

5. The Performance Audit Committee should be functional in all departments

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

6. Performance should aim at improving the employees' current performance and productivity

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

7. Training and development needs of employees should be assessed

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

8. Good relations between employees and directors/managers should be encouraged

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

9. PMS should be implemented in accordance with legislative requirements

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

10. The KPIs and targets of Waste Management Unit should be based and linked to the IDP and SDBIP

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

11. The objectives of the Waste Management Unit should be derived from community inputs and arrived at through community consultation.

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

12. Individual scorecards should not be limited to the Municipal Manager and Directors but should be stretched across the municipal employ

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

13. The Waste Management Unit should develop the performance model that is in line with that of the entire municipality

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

14. Every employee at Waste Management Unit should complete an enter into an annual performance agreement with the municipality

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

15. The performance agreements to be used should be based on the type of the duty that is expected as there are different levels of duties

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

16. All role-players should be involved in rolling out the PMS and their responsibilities should be clear

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

17. Employees should be informed that the appraisal interview is an interactive process to give constructive recognition to the duties fulfilled by them (employees) and to pinpoint areas where the employee can develop further

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

18. Employees should be given the feedback must form in a positive manner on all aspects measured in terms of the appraisal

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

19. An incentive and reward system brought about PMS should be in line with local government legislation given by DPLG and SALGBC

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

20. PMS should be structured in a manner that individual performance ensures alignment of individual goals and objectives with that of the organisation and to coordinate efforts in order to achieve those goals

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

21. There should be channels of communication in place for effective performance management

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

22. There should be development of employees identified through the performance management process and providing learning opportunities through the process of planning, coaching and reviewing performance

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

23. The tools for measuring performance at Waste Management Unit should include strategies that (i) establish goals and measuring results (ii) justification and quantification of resources, (iii) organizational development and (iv) motivating employees

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

24. Employees should be consulted about specific performance standards that will be included in the PMS as applicable to top managers

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

25. Employees at Waste Management Unit should agree to participate in the PMS that the employer adopts or introduces for municipality

AGREE	NOT SURE	DO NOT AGREE
-------	----------	--------------

QUESTIONNAIRE FOR THE COMMUNITY MEMBERS

1. How often is refuse collected in your community?

WEEKLY	MONTHLY	NOT AT ALL
--------	---------	------------

1. Have you ever been provided with wheelie type bins?

YES	NO
-----	----

2. Do you find your area dirty due to uncollected refuse and illegal dumping areas?

YES	NOT SURE	NO
-----	----------	----

3. Do you attribute the above to poor performance of waste management to employees or the negligence of the community?

EMPLOYEES	COMMUNITY	BOTH
-----------	-----------	------

4. Are there situations where the week goes by without collected refuse?

YES	NOT SURE	NO
-----	----------	----

5. Are waste management by-laws enforced in your area?

YES	NOT SURE	NO
-----	----------	----

6. Do you think jobs will be created through recovery and recycling processes and as a way of waste minimization, waste avoidance and waste collection?

YES	NOT SURE	NO
-----	----------	----

7. Is there any constant communication between the community and the municipality in terms of the performance management particularly of waste management unit?

YES	NOT SURE	NO
-----	----------	----

8. Does your community take their own initiatives to minimize waste without the help of the municipality?

YES	NOT SURE	NO
-----	----------	----

9. Do you think waste management as a basic service receives adequate attention like other basic services?

YES	NOT SURE	NO
-----	----------	----

10. Who should be blamed for illegal dumping? Is it the community itself or the waste management unit?

COMMUNITY	WASTE MANAGEMENT UNIT	BOTH
-----------	-----------------------	------

11. Do you think it is important that the Waste Management Unit should provide the feedback to the community concerning the performance of the waste management unit?

YES	NOT SURE	BOTH
-----	----------	------

12. Given the high incidence of illegal dumping and diseases that are attributed to unhygienic living conditions, do you think there should be a model or an instrument to persuade community participation in waste minimization?

YES	NOT SURE	NO
-----	----------	----

13. Do you encourage the residents to pay for their basic services for sustainable waste collection?

YES	NOT SURE	NO
-----	----------	----

14. Do you think the absence of appropriate guidelines for optimum public participation in decision-making is a source of confusion and lack of direction, rendering it impossible to deliver on waste minimization?

YES	NOT SURE	NO
-----	----------	----

15. Do you attribute poor waste collection to the following?

- 15.1. The population growth
- 15.2. Lazy employees
- 15.3. Shortage of employees
- 15.4. Insufficient funding from the municipality
- 15.5. Some areas are given first preference than others
- 15.6. No awareness campaign on matters of waste management
- 15.7. Vehicle breakdown
- 15.8. Limited road access and infrastructure in informal settlements

ANNEXURE B

INTERVIEW QUESTIONS AND DETAILED RESPONSES FROM VARIOUS PARTICIPANTS (for the purpose of qualitative analysis)

(A) SEMI- STRUCTURED INTERVIEW QUESTIONS

THEME 1: PERFORMANCE IN THE CONTEXT OF MUNICIPALITIES

1. What are the challenges that you are faced with in rolling out the PMS?
2. PMS was introduced by MSA of 2000. Do you think that ELM's Waste Management Unit rolls out this process just to satisfy the legislative requirements? If not, please elaborate on your response?
3. What can be done to change the attitude towards more active participation in the PMS process?
4. Do you think there is enough understanding and buy in from political heads (MMC's and Mayor) to Top management for the success of PMS?
5. Do you encounter any disputes from the implementation of the PMS and how do you deal with them?
6. How is performance of the Waste Management Unit linked to the performance of the staff?

THEME 2: ASSESSMENT OF PMS WITHIN THE WASTE MANAGEMENT UNIT

1. How is PMS at Waste Management Unit rolled out?
2. Does Waste Management Unit have enough employees to assist with rolling out PMS?
3. How does Waste Management Unit ensure that the PMS plans are being properly implemented?
4. How IDP is linked to the Waste Management Unit's PMS?
5. How is performance of the Waste Management Unit linked to the performance of the individuals?
6. Are the rewards and incentives of individual employees at Waste Management Unit linked to PMS?
7. How is poor performance managed within the waste Management Unit at ELM?
8. Can you describe the level of commitment of all role-players (formal and informal waste workers, waste officials, the private sector, NGOs and political office bearers) with regard to effective waste control?

THEME 3: ESTABLISHMENT OF PMS MODEL AT WMU

1. Is there any performance management model in place within the Waste Management Unit?
2. A performance management model is viewed as a framework of PMS. How does your department enhance the ability to manage and analyze its performance model of the municipality?
3. How does the model offer to monitor and evaluate the programmes of waste Management Unit?
4. How the model makes provision for effective and efficient delivery of Waste Management services?
5. Is the existing model meant to be developmental?

THEME 4: SOLUTIONS THAT CAN BE OFFERED TO PROMOTE PMS FOR EFFECTIVE WASTE CONTROL

Outline the solutions that can be offered to promote PMS for effective waste control.

(B) DETAILED RESPONSES FORM THE PARTICIPANTS INTERVIEWED

THEME 1: PERFORMANCE MANAGEMENT IN THE CONTEXT OF MUNICIPALITIES

1. Lack of capacity and information on how PMS operates. There are also no enough financial resources to make PMS to be functional. No formal performance review is conducted at the ELM as the result no training programmes are provided for poor performance. Lack of “know- how” and fear to cascade the PMS at all departments within the municipality is the cause of concern. Those who want to learn are not accommodated. Line managers do not own the PMS at their respective departments and it (PMS) is not driven from the top of the municipal ranks.
2. The WMU does not have the PMS in place as legislated by the MSA, only job descriptions are viewed as measuring instruments that gauge the performance of the Unit. This is due to the fact that PM is subjected to Section 57 employees as they are compelled to enter into the performance contract. Some interviewees responded by noting the fact that only strategic goals of each Department including that of WMU are measured as KPIs for line managers/functional managers.
3. .Most cited that some of the PMS objectives should facilitate learning and development to identify the potential and abilities of employees and provide early warning signs to afford the municipality time to take steps to improve its performance. Those who have been with the municipality for long times believe that all employees should know that it is legislated that they are subjected to PMS. It should be viewed as a way of developing employees to perform to their utmost best. All the stakeholders should be afforded the opportunity to voice their opinions in developing PMS. They believe PMS should drive change and improve the performance of the organisation. Objective should be clear, understandable and easy to measure. The commitment from top manager’s work place culture of performance and employee responsibility should serves as a success factor in realizing the objectives of the PMS.
4. Most political heads or political office bearers are not familiar with PM and PMS hence they perceive it as not important and do not feature at top list of priorities. For as long as it is implemented at Section 57 level as their contractual obligation, it is fine which contradicts section 67 of MSA that stipulates that; “municipalities should develop and adopt appropriate systems and procedures to ensure, fair, efficient, effective and transparent personnel administration,

including the supervision and management of staff and the monitoring, measuring and evaluation of performance of the entire staff”.

5. There is resistance as some managers view PMS as the waste of time and they are resistant in any form of change and perceive performance as an additional workload as there are job descriptions and job specifications to measure their progress. Unions perceive PMS as an initiative to bully employees. PMS is not a transparent process as not everybody is included in the matters linked to incentives and rewards. Unions perceive PMS as an initiative to bully employees. They are also suspicious about the intentions of measuring work performance and believe that the employer wants to use this process as a primitive measure. They are also claiming to have no confidence in the management to successfully implement PMS
6. Reviewing individual performance will provide the ELM as an organisation with appropriate information on performance gaps or excellence. This will inform the management as to whether the strategic goals of the municipality are realized. It is the requirement of the Municipality Planning and Performance Regulations and the MFMA to ensure the performance management at various levels that there should be a link between the individual performance management and strategic goals (IDP and SDBIP). Performance Management System should be a process where staff is involved in the planning, assessing and improving of the municipal achievement in relation to strategic goals. At the moment performance management is of little practical use as the PM process is not transparent and consistent, and managers are not in the position to defend it.

THEME 2: ASSESSMENT OF PERFORMANCE MANAGEMENT SYSTEM WITHIN THE WASTE MANAGEMENT UNIT

1. There are no systems in place to roll out PMS as required by the legislation. Job descriptions and job specifications of employees are used to measure their performance as well as the Waste Management Units performance. The Council, as the interviewees have told, have assigned responsibilities accordingly but PMS is not cascaded in full to the departments particularly Waste Management Unit with the intention to track whether the strategic goals of the department are met.
2. There is enough human resource in this Unit but the level of skills and capacity to roll out PMS is very low. Managers are not properly trained to implement PMS in

an effective, efficient and economic manner. The Council at large has delegated the responsibilities to the to the Municipal Manager but other officials at lower level management especially in waste Management Unit are not being delegated with the duty to implement PMS.

3. Because PMS is not being implemented in all other municipal departments it is therefore not implemented in the Waste Management Unit. Job descriptions as described in theme 1 are used as a yardstick to measure performance of this Unit. Departmental (WMU) strategic goals are used to measure the general performance of the Waste Management Unit.
4. As mentioned earlier that MSA described that the PMS should be established and should be in line with the priorities and targets contained in its IDP. As the result Waste Management Unit is one of the priorities in the ELMs IDP. Unfortunately the PMS processes are just on paper but dysfunctional in reality.
5. Because no formal PMS is implemented at the Waste Management Unit, it is the requirements that all Waste employees have job descriptions. In this way the departments or unit is creating an environment which employees can deliver what is expected of them (targets) in their job description. Their job descriptions should be aligned to individual performance plan of the head of the Waste Management Unit.
6. There is no relationship between evaluation of performance and rewards. Salary increases and bonuses are viewed by employees and unions as their rights not as one of the motivating factors. Most managers concern with each other in that some waste employees perform below average but still are entitled to annual salary increases and their bonuses as in 13th cheque. No rewards or recognition of any form are issued at waste Management Unit.
7. Managers are reluctant to engage with employees as they themselves have no proper knowledge of PMS and they are avoiding controversy. Poor performance in general is not attended to and no remedial training at Waste Management Unit is conducted to improve performance. The only way to manage performance is to have continuous education of those involved in performance management matters e.g. managers and supervisors.

8. The level of commitment is not the same amongst role-players as the response from interviewees. Some sight the fact that the level is very low as some role-players do not take their assigned duties seriously, e.g. informal waste workers work if they feel to do so as most are not obliged by any contract, political office bearers are perceived as having the low level of commitment to waste issues as waste management does not make it to the top of municipal priorities. Apparently most role-players do not understand the policy framework of PM that commits them to accomplishing the ELM's and WMU's objectives and levels of performance.

THEME 3: ESTABLISHMENT OF PMS MODEL FOR ELM'S WASTE MANAGEMENT UNIT

1. No performance management model is in place at Waste Management Unit at ELM. Only job descriptions are used to measure performance and track progress.
2. Most managers believe PM model is designed for continuous improvement and serve as the framework for monitoring the progress. Job descriptions might be the tool used as the framework to track the performance of individuals against the departmental strategic objectives.
3. All managers agree that there is no type or specific PM model in particular that exists at Waste Management Unit except the job description and because PMS is not operational at Waste Management Unit, most managers agree that job descriptions and departmental strategic objectives are used to monitor and evaluate the programmes of Waste Management Unit as required by IDP.
4. Job description and departmental strategic objectives are used to describe performance areas that are important in measuring performance. Some compare job description as the individual scorecard that contains KPIs and targets to the Waste Management Unit. When expectations from the job descriptions and departmental strategic objectives are not achieved, the implication will be poor performance (i.e. job descriptions did not make provision for effective and efficient delivery of waste services as one of the objectives of IDP of ELM).
5. Job descriptions and departmental strategic objectives at Waste Management Unit do not address learning and growth issues with the intention to improve performance of both the unit and the individual employee.

THEME 4: SOLUTIONS THAT CAN PROMOTE THE EFFECTIVE PMS OF WASTE MANAGEMENT UNIT

- PMS should be viewed as assisting employees to improve their performance and productivity and to identify the potential and abilities. Managers can use PM to indicate possible problem areas at an early stage as well as the effectiveness of actions taken to solve problems.
- Municipalities as service delivery institutions should provide employees with accurate information on how it views job and expectations associated with it not as a way of punishing poor performance. PM should be viewed as providing a culture that will attract and develop employees.
- PMS should have clear objectives that serve to measure the performance of municipality of meeting its IDP. Managers agree to the fact that IDP and PMS are both strategic instruments. The intention of the PMS should be to facilitate accountability among its stakeholders, learning and development to improve delivery, to detect early warning signals so as to facilitate intervention when there is a need, and facilitate decision-making.
- All employees should be subjected to PM as top management (Section 57 managers) are. The PMS to be implemented should be uninformed from top level down to the bottom ranks of the municipality. This will increase accountability and service delivery. All employees should be informed in their job descriptions that they are obliged to PMS. It is with this regard that there should be continuous communication with employees on the municipal goals, their role as well as what is expected of them.
- All the municipal departments should use one type of PMS. All the departmental managers should include the departmental staff in the development of the performance management plan.
- Most managers agree to the fact that employees want a good relationship with their leaders, meaningful work, cooperation from workers, trust in workplace, opportunities for growth and advancement, and a clear understanding that they should commit to their duties for performance excellence. Once the municipality has established its strategic goals, the activities necessary to complete associated responsibilities should be assigned to individuals. The individuals should be free to establish their goals within the context of the municipality's strategic objectives. The collective efforts of individual employees and that the municipality will create the organizational success

- Performance appraisal should be used to provide a basis for decisions regarding rewarding employees such as pay adjustments and non-financial rewards. Managers believe that outstanding job performance should be rewarded. To encourage goal performance a municipality should design and implement a reliable performance appraisal system and then reward the most productive workers and teams accordingly.
- There should be foundation to engage and motivating staff to be part of the performance appraisal in an effort to achieve the goals of the municipality. Employees should be involved in determining the type of rewards or developing incentives for performance excellence. There should be reward programs associated with municipality performance. The municipality should appreciate the importance communication as a means of aligning reward programs with the municipal strategic goals and the interest employees have in understanding how they are being rewarded.
- Managers should establish the reasons for poor performance with the employee and discuss a course of action to address the problem such as providing the employee with, or arrange formal or informal remedial training. The role of the Human Resource Development should come to the force as to providing or facilitating training, for employees that are underperforming in terms of Work Place Skill Plan (WSP) and their IDPs
- Employees need plenty of coaxing and reassurance in terms of PMS. There should be continuous effective communication on the benefits of PMS and involvement. Employees should be educated about PMS and there should be increased stakeholders' knowledge about PMS.
- The Waste Management Unit use the PMS that is in line with the ELM's PMS and strategic goals as legislated by MSA.
- All employees at Waste Management Unit should be involved in the development of PMS. Objectives of the PMS at Waste Management Unit should be clear and comprehensible and easy to measure.
- The job description used at Waste Management Unit as the yardstick should be replaced by PMS that is consistent with that of the entire municipality. (ELM)

- Performance management should be decentralized and the channels of communication from the top management to time managers needs to be in place and broadened.
- Managers and staff at Waste Management Unit should be developed through PM processes and be provided with learning opportunities through the process of planning, coaching and reviewing performance. The Waste Management Unit should be served with qualified, dynamic and innovative managers and administrators. Managers at this Unit should have clear sense of the strategic direction and goals. Training and development should be linked to requirements of PMS for individual development Plan as required by the Skill Development Act.
- The Council should remain the principal oversight body to ensure PMS is implemented from top to bottom ranks in accordance with legislative requirements and, must ensure any deviation from the system, e.g. late to inadequate monitoring and reporting is addressed. The Unit should also do likewise by ensuring PMS is implemented as required by the legislation and by the expectation of the Council as a whole.
- Employees at Waste Management Unit should be developed through PM processes and providing learning opportunities through the process of planning, coaching and reviewing performance. The Unit should have the development policy which states that employees should have a minimum number of development hours per quarter/annum. The Unit should mandate the project team to facilitate, the implementation of PM and implementation strategies at Waste Management Unit.
- Waste Management Unit should not deviate from strategic objectives of the IDP as required by the legislation. The Unit should set targets, monitor and review performance based on indicators linked to their IDP. When the ELM amends its IDP the key performance indicators(KPI's) of the Waste Management Unit should be reviewed so as to be consistent with the ELMs Development priorities.
- It is important to link the Waste Management Unit's performance to individual performance and manage both at the same time, but separately. The legislative

mandate for measuring individual performance that is found Section 57 of the MSA should also be applicable to all Waste Management staff. In essence the PM should be cascaded down throughout the hierarchy of the Waste Management Unit. The Unit should create an environment, which the staff can deliver the objectives and the targets set for them in their performance contracts and job descriptions.

- Interviewees believe that the Waste Management Unit and the entire municipality should develop an effective performance appraisal system and be a management priority. The PM plan that is effective for developing employees should be in line with the way of rewarding or providing incentives for employees. Most managers believe that the employees should be rewarded for outstanding job performance. Unions should be coaxed in affirming with the Performance Appraisal (PA) process. Interviewees also believe that the rewarding and incentive system should be aimed at directing and reinforcing effective work behaviors by determining and allocating equitable and appropriate rewards to employees who excel as per their performance agreements. An incentive and reward system should not be in conflict with any local government legislatives or binding ruling given by SALGA and SALGBC.
- Interviewees believe that the employer should provide systematic remedial or developmental support to assist the employee to improve his or her performance.

It should be clear that if it is the duty of the Waste Management Units manager or supervisor to manage performance. If there are suspicions of poor behavior, there must be an arrangement of the meeting as soon as possible with the employee concerned. The meeting should inform the employee that his or her work does not meet the required performance standard as expected of him and determine the manner in which poor performance is to be addressed, including practical steps that need to be taken by both the parties.

Some interviewees believe that the manager should always remain objective and not make judgement until they have all the facts. The audi alteram partem should rule. Some managers expect the Union members interviewed agreed that after appropriate performance counselling and having provided the necessary guidance and or support reasonable time for improvement in performance, and performance does not improve the employer may consider steps to terminate the contract of employment of the employee on grounds of unfitness or incapability to carry out his or her duties.

ANNEXURE C

THE INDIVIDUAL PERFORMANCE MANAGEMENT PLAN

Source: SALGA (2004: 51-61)

Performance management plan for: _____

Job description: _____

Period under review: _____

1. POSITION PURPOSE

(a short description of the purpose of the employees under review's position-to be adapted from the performance charter)

2. SCORE CARD

Key objectives	Weighting	Target date	Key performance indicators	Performance status on date of review	Reason for deviation (if applicable)	Score
1.						
2.						
3.						
4.						

3. KNOWLEDGE, SKILLS & BEHAVIOUR

The ratings attached to this section will not impact on the final performance score but will assist in identifying areas of development for inclusion in the individual learning plan

Rating	Description
1	Performance clearly below acceptable level
2	Performance is competent in some aspects, but shows need for improvement in other aspects
3	Fully competent performance
4	Noticeably better than competent performance
5	Distinguished performance, obvious to all.

KNOWLEDGE	Description/definition	Comments/Observations	Rating
Local Government environment and legal requirements			
SKILLS	Description/Definition	Comments/Observations	Rating
Computer literacy			
Report writing			
Budget			
Negotiation skills			
Planning & organizing			
BEHAVIOUR	Description/Definition	Comments/Observations	Rating
Customer service			
Teamwork			
Service delivery			
Leading teams			

4. PERFORMANCE REVIEW PROCEDURES:

The steps of the performance evaluation process that must be followed can be stated here:

5. CONSOLIDATED SCORE SHEET:

Key objectives	weighting	Employees rating	Managers rating	Final/consolidated score	Reason for final score
1					
2					
3					
4					
5					

6. LINK TO REWARD

The employee's performance will be rewarded according to the performance reward scheme of the municipality.

7. INDIVIDUAL LEARNING PLAN (ILP):

Manager's name: _____

Job title: _____

Department: _____

Employee's name: _____

Date: _____

Skills/ performance gap	Outcomes expected	Suggested training and/or development activity	Suggested mode of delivery	Suggested time frames	Work opportunity created to practice skill/development area	Support persons
1						
2						
3						
4						
5						

Manager's signature: _____

Employee's signature: _____

8. PERFORMANCE PLAN CONTROL SHEET-TO BE UPDATED BY EMPLOYEE:

PLANNING

Date of 1st planning meeting: _____

Date when copy of performance plan is handed to manager: _____

Date of 2nd planning meeting: (if applicable) _____

Employee's name: _____

COACHING PHASE

Keep a record of meetings held to give feedback to the manager on performance related issues.

Date of feedback meeting	Performance issues discussed and corrective action to be taken
Date of formal review	

REVIEWING PHASE

Date manager notified of formal review meeting: _____

Date of 1st review meeting: _____



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PERFORMANCE MANAGEMENT SYSTEMS AS A TOOL FOR
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THE CASE OF EMFULENI LOCAL MUNICIPALITY

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