

The roles of the supervisor in the performance management of office-based educators in the North West Province

R Lucas

(170 255 24)

Mini-dissertation submitted in partial fulfilment of the
requirements for the degree Master of Education in Educational
Management at the Mafikeng Campus of the North West
University

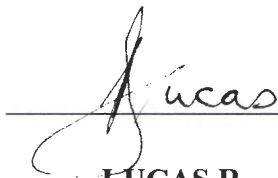
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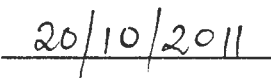
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DECLARATION

I, Rafique Lucas (Student No 170 255 24) declare that this mini-dissertation submitted in partial fulfillment of the requirements for the degree of Master of Education submitted at the Mafikeng Campus of the North West University has not previously been submitted by me for a degree at this or any other university, that it is my own work and that all sources quoted have been indicated and duly acknowledged.



LUCAS R



DATE

CERTIFICATE OF ACCEPTANCE FOR EXAMINATION

This mini-dissertation entitled “The roles of the supervisor in the performance management of office-based educators in the North West Province” written by Rafique Lucas (Student no. 17025524) is hereby recommended for acceptance for examination.

Supervisor: Professor C.B. Zulu

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DEDICATION

This achievement is firstly dedicated to my dear wife **Micalla Lucas** who always inspires me to greater heights with her love, support and encouragement and for the belief she has in my abilities.

Secondly, it is dedicated to my loving mother **Rosemary Lucas** who always provided the best she could for me and without whom I would not be where I am today.

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ABSTRACT

The study investigates the roles of the supervisor in the performance management of office-based educators in the North West Province. The main aim of the study is to determine the views of first level supervisors and their staff members on what the roles are and which skills accompany such roles in order to ensure that the supervisor effectively implement the Performance Management and Development Scheme (PMDS) for office-based educators.

A qualitative research design and an interpretive approach are adopted to tap into the practical experiences of the participants in the study. The study focuses on the five Chief Directorates that make up the Corporate Centre of the North West Department of Education namely Quality Assurance, General and Further Education and Training Services, Human Resource, Adult Education and Training Services and Auxiliary Services Chief Directorates. Five first level supervisors and ten staff members were sampled as participants in the study by making use of purposive criterion sampling methods. The research methods used to gather data included in-depth face to face interviews with the supervisors, open-ended questionnaires completed by staff members and document analysis where the PMDS policy, namely Collective Agreement (3 of 2002) and completed upward feedback forms were analysed.

The major findings of the study indicate that the main roles of a supervisor in the performance management of office-based staff are: performance planning, conducting performance reviews, ensuring the successful implementation of the PMDS policy, providing ongoing support to improve the performance of staff members, evaluating performance in a fair and transparent manner, reporting on performance and motivating staff to perform better. The study further reveals that the supervisor needs to have management and leadership skills, communication skills, conflict management skills, time management skills, delegation skills, good interpersonal relations with staff and should be knowledgeable about the PMDS policy to successfully implement it.

Recommendations that emanate from the study suggests that the roles of the supervisor be specified and unpacked in the policy document, that supervisors be trained on the roles and skills identified and that PMDS activities should be scheduled and integrated as part of the daily activities of the supervisor and staff members.

KEY WORDS

- Performance management and development scheme
- Office-based educators
- Supervisor
- Roles
- Performance
- Skills
- Attributes
- Challenges in performance management
- Training

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CHAPTER ONE

ORIENTATION

1.1 INTRODUCTION AND BACKGROUND

For years teachers in South Africa have been exposed to a system of inspection as a method of performance evaluation. This system was very subjective and did not allow for any input from those who were subjected to the inspection process. The change in the political system of our country from autocracy to democracy also had an effect on the education system. Saunders (2002:1) notes that the assessment process in South Africa, like most other systems, have undergone major transformation. At that stage the inspection system was rejected and discarded. For years there was no system in place to evaluate the performance of teachers in South Africa. In December 1997 the release of the White Paper on Human Resource Management and the new Public Service Regulations introduced a new approach to performance management and development in the South African Public Service and the Department of Education. As a democratic country, teacher unions and representatives from the department of education met in the Education Labour Relations Council to discuss how to proceed with the performance management of teachers. This resulted in the development of a Collective Agreement, No.3 of 2002, which is referred to as the Performance Management and Development Scheme (PMDS) for Office Based Educators. Although the Collective Agreement was signed in 2002, officials were only trained in 2005 and the policy was implemented in April of that year.

According to Heystek, Roos & Middlewood (2005:99), the appraisal process should be conducted in a transparent manner where all those involved should make a meaningful contribution in order to achieve the goals set. The questions that arise are what exactly do supervisors in the performance management of office-based educators perceive their roles to be and, in their opinion, will constitute a meaningful contribution.

There are many reasons why people may still fear evaluation of work performance. Although performance evaluation is meant to be unbiased and fair, many employees are convinced that

evaluation judgments are not bias free on the part of the supervisor. It is for this reason that Saunders (2002:2) says assessors should be called to account for their evaluation decisions in the industrial courts and in arbitration and mediation processes. Saunders (2002:2) further states that, because the unions are involved in the evaluation process, the context in which the evaluations take place is very sensitive and creates tremendous challenges for the assessors or supervisors. It could be that supervisors feel that they are accountable for the evaluative decisions that they make and that they feel that they need to justify the ratings that they have allocated. It would also be interesting to find out how they go about ensuring that they evaluate performance fairly and accurately.

According to Jones, Jenkin and Lord (2006:79), supervisors can only ensure an effective performance management programme if they have a regular and systematic way to monitor the progress of individuals and if they are committed to provide ongoing support. Jones et al (2006:76) suggest that performance management is not an event but a process and, that one of the roles of the supervisor is to ensure that it is treated as such. English (2001:7) confirms this point and states that if performance management is treated as a once off event instead of a process it is actually a sign of ineffective performance management.

Another role of supervisors is that of motivators. The morale of all teachers is currently very low as poor working conditions demoralise teachers (English, 2005:430-431). Many office-based educators have indicated that the unavailability of resources that were supposed to be provided by the Department of Education such as pool vehicles, subsidised cars, lap tops, cell phones, 3G cards and photocopiers frustrate them and hamper their job performance. English (2005:432-433) further states that teachers would perform much better if supervisory practices were based on researched human motivation theories such as Douglas McGrogor's Theory Y developed in the 1960s which proposes that employees want to work productively and that they are motivated by performance measurement. This idea ties in with the thought expressed by Leithwood and Beatty (2008:2) who state that supervisors can bring about improvement in the performance of staff if they better understood the emotions of teachers. It is clear that the role of the supervisor in managing performance should involve some form of motivation and a type of emotional intelligence. Another motivating factor stems from the responsibility of supervisors to create work environments in which staff members can be productive (Whetton & Cameron, 2005:299).

It is also expected that supervisors should identify and deal with poor performance as an aspect of performance management. Supervisors should develop the skill of determining what causes poor performance and be able to provide the necessary training and support to assist staff to perform better (Whetton & Cameron, 2005:301-303). Therefore, good communication skills are very important in managing and addressing poor performance (Mann, 2002:3). In developing staff it is also important for supervisors to provide individualised support, intellectual stimulation and to model desired performance (Leithwood & Beatty, 2008:98). There is also a need to develop good coaching skills in order to provide adequate guidance to assist subordinates in performing tasks better (Jones et al., 2006:83).

From the above-mentioned it is clear that the roles of the supervisor in managing performance effectively need to be clearly defined and understood. It is also clear that a number of skills should be developed in order for supervisors to perform their role effectively as performance managers. It therefore becomes essential to determine what supervisors deem their role to be in the effective management of performance and whether they have the necessary skills to perform that role effectively. It is against this background that the statement of the problem is formulated.

1.2 STATEMENT OF THE PROBLEM

Heystek, Roos and Middlewood (2005:99) state that performance management is aimed at bringing about improvement in the individual and this translates into improvement in the organisation. A lot of research has been done in an attempt to define performance management as a concept. Verbeeten (2008:428) indicates that the specifying of clear measurable goals, the allocation of the right to take decisions and the subsequent measuring and evaluation of performance constitutes performance management practices. If the performance of organisations is to be improved there is a need for an effective and efficient performance management system (De Waal & Counet, 2009:367). However recent research has indicated that about seventy percent of performance management systems fail in achieving this objective (De Waal & Counet, 2009:367). The question is who is accountable to ensure that the performance management system is both effective and efficient. Arambula (2008:5) indicates that on an individual level the immediate supervisor is accountable for the performance of the staff member that he/she

supervises. The emphasis is now placed on the roles of the immediate supervisor in the successful implementation of the performance management system. De Waal and Counet (2009:381) mention that commitment to those roles is crucial in the successful implementation of the performance management system. Many roles that the supervisor has to perform in the management of the performance of staff have been identified through research (Brown, 2010; Heystek, Roos & Middlewood, 2005; Jones, Jenkin & Lord, 2006; Whetton & Cameron, 2005). However it appears as if supervisors do not know the roles they have to perform in successfully implementing the performance management system. English (2001:13) reinforces this idea by stating that supervisors approach performance management as a once-off event which is done only when performance is rated at the time of conducting the annual performance review instead of performing all other roles that are associated with performance management as an ongoing process. Hunt (2005:21) states that even the performance appraisal itself has been reduced to a paper exercise because it entails the mere completion of the forms. It is noted, however, that the overwhelming majority of such research was conducted in either the business sector or concentrated on the performance management within the school set-up. Very little research has been conducted within the context of performance management of office-based educators. As a matter of fact, no research that has been conducted pertains directly to the performance management of office-based educators in relation to the Collective Agreement 3 of 2002. This policy directs the way in which the performance of office-based educators should be conducted. The importance of the roles that an immediate supervisor plays in the successful implementation of the performance management system cannot be overemphasized therefore it becomes absolutely critical to identify the roles of supervisors in the performance management of office-based educators and to identify any challenges that may hamper supervisors from successfully carrying out the roles identified. Consequently the following aims for the study are stated.

1.3 AIMS OF THE STUDY

The aims of the study are:

To determine the views of supervisors and office-based educators on what the roles of the supervisor are in the effective implementation of the Performance Management and Development System.

- To identify the critical skills needed by a supervisor to effectively implement the performance management and development system.
- To develop guidelines for an effective training programme that could assist the supervisor to be better skilled for his/her role of managing the performance of office-based educators.

1.4 RESEARCH QUESTIONS

The study was guided by the following research questions:

- What does the performance management of office-based educators entail?
- What are the roles of a supervisor in the successful implementation of the performance management and development scheme for office-based educators?
- Which skills can be identified for a supervisor to have to effectively implement the PMDS for office-based educators?
- What are the challenges experienced by the supervisor in trying to fulfill these roles?
- What type of training does a supervisor need in order to perform their roles in the PMDS better?

1.5 SIGNIFICANCE OF THE STUDY

The study adds to the existing body of knowledge on performance management practices and the skills needed to effectively supervise these process. The researcher also hopes to influence the type of training that will be provided for supervisors in preparing them to effectively manage the PMDS for office-based educators. Guided by the outlined significance of the study, the research has been designed as follows.

1.6 RESEARCH METHODOLOGY

In this study two methods of investigation are used, namely a thorough review of literature and an empirical investigation.

1.6.1 Literature study

After the research topic had been identified, the researcher embarked on a search for literature related to the topic (Creswell, 2009:25). Creswell (2009:25) further states that a literature review shares with readers the results of previously conducted studies that are closely related to the study at hand. It also relates to the current study by filling in gaps that may exist and extends on findings from other studies. Furthermore, it also provides the framework for outlining the importance of the study.

1.6.2 Empirical investigation

1.6.2.1 Research design

Fraenkel and Wallen (2009:G7) describe the research design as a master plan on how data that is relevant in answering the research questions will be collected and analysed. In this study a qualitative research design was used. Nieuwenhuis (2010:50) defines qualitative research as follows:

“... research that attempts to collect rich descriptive data in respect of a particular phenomenon or context with the intention of developing an understanding of what is being observed or studied”.

One of the characteristics of qualitative research is that it is conducted within the natural environment in which the phenomenon occurs and that sense is made out of the phenomenon by finding out what people involved with the phenomenon have to say about it (Denzin & Lincoln, 2005:3 cited in Creswell, 2007:36). This study lends itself to a qualitative approach because the researcher will attempt to construct meaning from the inputs that are made by people who are actually involved with the phenomenon under study. The research design is discussed in detail in chapter three of this paper. A brief discussion of the research approach, data collection methods, research participants, data analysis and the limitations of the study will now be discussed.

1.6.2.2 Research Approach

An interpretive orientation was followed in this study. Morrison (2007:24) refers to the core task of the interpretive researcher as gaining insight into a phenomenon from the perspective of those that are directly involved with the phenomenon. Working within this paradigm provided the opportunity for the researcher to find out how a supervisor experiences the roles associated with the performance management of office-based educators. By tapping in on the practical

experiences of the supervisor one gained a greater insight into the roles of the supervisor in the performance management of office-based educators.

1.6.2.3 Data Collection Methods

The methods for data collection that was used in this study are document analysis, in-depth interviews and open-ended questionnaires. According to Nieuwenhuis (2010:82) document analysis refers to the analyzing of both published documents such as books and articles as well as unpublished material such as reports, minutes, memoranda and notices to staff members. In this study it entailed the reading of policy documents that guides the performance management of office-based educators and reports by the implementers of the policy. This helped to identify the challenges faced by supervisors of office-based educators in the implementation of the performance management system. The researcher also interviewed supervisors to find their views on the roles of the supervisor in the Performance Management and Development Scheme and the challenges associated with those roles. In this case the researcher made use of semi-structured interviews where a set of pre-determined questions were used which, according to Nieuwenhuis (2010:87), can be used to corroborate information that emerged from other sources such as the planned document analysis. Semi-structured interviews ensure a certain line of questioning while at the same time allowing for deeper probing into new themes that may emerge (Nieuwenhuis, 2010:87). In addition, an open-ended questionnaire was given to office-based teachers to determine their views on the roles of the supervisor in the implementation of the performance management and development system.

1.6.2.4 Research Participants

The sample size in qualitative research is not prescribed (Merriam, 2009:80). A sample of a minimum of five supervisors and five office-based teachers were interviewed. The researcher

made use of purposive and criterion sampling methods. The reason for choosing this sampling technique is based on the fact that the study had a specific purpose in mind which was to identify the roles of supervisors in the performance management of office-based educators at the Corporate Centre, which according to Maree and Pietersen (2010:178) is one of the reasons for choosing purposive sampling methods. Thus, the sample only concentrated on the five Chief Directorates that makes up the Corporate Centre, namely Quality Assurance, Auxiliary Services, Human Resource, General and Further Education and Training (G&FET) Services and the Adult Education Training Services (AETS). In choosing a minimum of one supervisor and one office-based teacher from each Chief Directorate the following criteria were used:

- A minimum of three years experience in the implementation of Collective Agreement 3 of 2002 as a policy on performance management.
- A minimum of three years experience of working in the current section/unit as either a supervisor or as a staff member.
- Supervisors and staff members from each Chief Directorate who have been in these positions for a minimum of three consecutive performance management and development cycles.
- Only first level supervisors were sampled.

1.6.2.5 Data Analysis

Qualitative data analysis methods were used where interviews conducted were analysed to cluster groups of answers and themes which were similar. The themes were then used to structure the information about the problem highlighted in the written report on the findings. The report also contain the recommendations that were made by the participants in the study on the roles, skills and types of training they deem important for supervisors in order to effectively manage the performance management process.

1.7 LIMITATIONS OF THE STUDY

According to Creswell (2002:207) limitations are described as the possible weaknesses in the research to be undertaken by the researcher. Creswell (2002:207) identifies inadequate measures of variables, loss or lack of participants, small sample sizes, errors in measurement, problematic factors related to data collection and analysis methods as areas that contribute to the limitations in studies. The greatest limitation of this study lies in its sampling size. Due to the small sample size it is difficult to generalize the findings of the study. Although a minimum sample size is suggested in this study, the researcher needed to determine if the data was saturated before concluding on the planned sample size (Nieuwenhuis in Maree, 2010:79).

1.8 DEFINITION OF TERMS

Performance Management and Development Scheme (PMDS)

The performance management and development scheme refers to Collective Agreement 3 of 2002 between the South African Department of Education as Employer and the Teacher Unions on behalf of the Employees which is used to identify, evaluate and develop the performance of office-based educators.

Office-based educators

According to the Employment of Educators Act 76 (1998:C3), educators are any individual who teaches, educates or provide training to others and any individual who provides any professional educational services at various sites such as public schools, departmental offices, further

education and training facilities and adult basic education centres. Office-based educators thus refer to those educators who are based at departmental offices starting from Senior Education Specialist level up to the level of Chief Education Specialist.

Supervisor

A supervisor is described as one who oversees the work of staff members who are at operational level (Robbins & De Cenzo, 2007:6). In other words they are part of the management team of an organisation and are also referred to as the first level supervisors. In this study, a supervisor will refer to the immediate senior of all office-based educators who report directly to him/her according to line function up to the Director level.

Roles

According to the online business dictionary roles refer to the behaviours that are prescribed or expected from an individual because of his/her position or status that he/she has within a particular organization. In this study the expected behaviour of first level supervisors in relation to the management of the performance of their subordinates will be explored.

Some of these terms are further expanded on in Chapter two.

1.9 DEMARCATION OF THE STUDY

Chapter 1: Orientation

Chapter one provides the orientation of the study. The background, statement of the problem, aims, research questions, significance of the study, the research design, chosen population and the definition of terms that are relevant are discussed. This chapter is concluded with an outline of the demarcation of the study.

Chapter 2: Literature review

In this chapter the nature and scope of performance management, the conceptual framework of Collective Agreement 3 of 2002, the importance of evaluating staff performance, approaches to performance management and challenges experienced in conducting performance appraisals are discussed. The chapter also expands on what supervision of performance management entails by referring to what constitutes effective supervision of performance management, the roles of supervisors in performance management, identified skills for supervisors to effectively manage the performance of staff, the value of emotional intelligence as an additional skill for supervisors and the use of McGregor's Theory X versus Theory Y in motivating staff through performance management.

Chapter 3: Research methodology

This chapter highlights the research methodology used in the study to gain greater insight into the various roles of a supervisor in the performance management of office-based educators in the North West Department of Education.

Chapter 4: Presentation of data, analysis and interpretation

Chapter 4 reports on the results of the data collected to determine the roles of supervisors in the performance management of office-based educators. The qualitative data collected is summarised and presented in a clear and comprehensive manner in this chapter.

Chapter 5: Summary, synthesis of findings, conclusions and recommendations

In this concluding chapter a brief summary of the study is made and the main findings of the research on the roles of a supervisor in the performance management of office-based educators are presented. Conclusions reached and recommendations that emanated from the findings are also presented in this chapter.

1.10 SUMMARY

This chapter provided the framework for the study by stating the background and rationale for conducting the study. The problem with regard to the roles that a supervisor has to fulfill in implementing the performance management of office-based educators and the need for further investigation on this topic were clearly stated. The research aims and the research questions that guided the study were mentioned and the methods used to achieve the aims and answer the research questions were briefly outlined. A demarcation of what is contained in all the chapters of the study was provided. The next chapter deals with the review of literature relevant to the topic under study.

CHAPTER 2

LITERATURE REVIEW

2.1 INTRODUCTION

Chapter one provided the statement of the problem, outlined the aims of the study, presented an overview of the research design and broadly defined some important terms used in the study.

This chapter presents a review of the literature on performance management and development. Many studies (Aguinis & Pierce, 2007; Kumar, 2008; Thau, Bennett, Mitchell & Marrs, 2008; Verbeeten, 2007, Arambula, 2008, Bischoff & Mathye, 2009, De Waal & Counet, 2008; Radnor & Barnes, 2007; Rowland & Hall, 2010; etc.) have been conducted on the management of staff performance, the challenges of such a complex task as well as the critical roles of the supervisor in this whole process. The first section of this chapter will focus on the conceptual underpinnings of the study. This includes the nature and scope of performance management and supervision as well as how the two concepts have evolved from the early beginnings to their present forms and what the Performance Management and Development Scheme of office-based educators as contained in Collective Agreement 3 of 2002 (hence forth referred to as PMDS for office-based educators) entails. The latter part of the literature review concentrates on challenges encountered by supervisors and staff in the performance management process. Reference is also made to the roles, knowledge, skills and behaviour identified in literature that supervisors should have in order to successfully manage the performance of staff reporting to them. Finally, conclusions are drawn from the findings and how it relates to the study undertaken.

Furthermore, this chapter seeks to present findings from literature to the related roles of the supervisor in the performance management of office-based staff.

2.2 CONCEPTUAL FRAMEWORK

2.2.1 Accountability

In recent years there has been a world-wide outcry from the general public for greater accountability on the part of government on the quality of service that is delivered. This trend is observed by Arambula (2008:2) who states that accountability is one of the key issues within all democratic societies. Arambula (2008:5) indicates that accountability basically refers to a relationship in which individuals or departments are accountable for their performance (Arambula, 2008:5). This is especially true in South Africa where the first democratic election in 1994 contributed to great transformation of the public service in order to promote accountability and thus improve on service delivery. Within the public sector tremendous challenges have been placed on the various ministers to transform their departments in order to become more effective and efficient. Arambula (2008:5) identifies four different types of accountability relationships, namely hierarchical -, legal -, professional - and political accountability. According to the explanations forwarded by Arambula, the role played by the immediate supervisor and the application of regular reviews of individual performance is central to hierarchical accountability within these relationships. In this study the focus will be on hierarchical accountability within the Department of Education through the performance management system of office-based educators.

2.2.2 Performance

In unpacking the concept of performance management one firstly has to understand what is meant by performance. Performance is described by Dubrin (2005:62) as the “*accomplishment of a work assignment*”. Dubrin (2005:62) cautions not to confuse performance with productivity as the latter is concerned with the amount of resources used in comparison to the amount of work that has been done within a specific time period. The two concepts are however closely linked

because if a staff member is not productive it means that he/she has performed poorly and vice versa. Radnor and Barnes (2007:385) refer to the aspects of efficiency and effectiveness as key aspects that can help to unpack the concept of performance. Efficiency has to do with input versus output and it relates to the measurement of productivity, whereas effectiveness refers to the measure of how appropriate the outputs are (Radnor & Barnes, 2007:385). Whetton & Cameron (2005:300) provide the following formula to describe performance: "*Performance = Ability X Motivation*". In other words the competence and drive a person has will determine the level of performance that the individual will display. The challenge is that sometimes an individual may have the necessary ability and motivation but there are insufficient resources for them to perform effectively (Whetton & Cameron, 2005:300). The question that arises is whether supervisors are aware that one of their roles is to accurately measure performance and to identify the causes of poor performance.

2.2.3 Management

English (2001:7) describes management as the art of ensuring that set outcomes are achieved. To some extent, management is sometimes confused with administration. Administration has to do with following rules and regulations by arranging resources in an orderly way, whereas management is about using discretion in managing the resources (including human resources) in such a way that predetermined work objectives are met (Flynn, 2007:2). Flynn (2007:2) further indicates that management has an element of authority and includes actions such as planning, budgeting, performance measurement and administration. This implies that there are a number of management skills and techniques that should be acquired including performance management amongst others.

2.2.4 Performance Management

There are many ways to define performance management.

Radnor and Barnes (2007:393) describe performance management as the action taken to improve behaviour, motivation, processes and to encourage innovation after considering the performance measurement and reporting results.

Verbeeten (2008:428) defines performance management as the practice of setting goals that have to be achieved as well as measuring and evaluating performance.

Luecke (2006:xi) refers to performance management as a method used within the workplace to measure how effective people are and to bring about improvement in their effectiveness. It can be seen as a system that encompasses many activities such as the setting of goals, tracking of changes, providing coaching and motivation, conducting appraisals or performance reviews and it also includes employee development (Luecke, 2006:xi).

Jones, Jenkin and Lord (2006:75) add another dimension by referring to performance management as a strategic and integrated process with the aim of delivering success within the organisation that can be sustained. They further state that performance management has evolved from being a once-off event into a process that is on-going.

From the definitions discussed, it is clear that performance management is an ongoing process that encompasses the setting of performance goals in line with strategic objectives of the organization, the measurement of whether these goals have been met and the level of achievement of the goals through conducting appraisals, rewarding of good performance, addressing poor performance and finally ensuring that development has taken place where gaps have been identified. Furthermore, it is apparent that performance management has to do with the general management and motivation of subordinates which encourages an element of innovation in staff members that will result in improved performance. It becomes imperative that supervisors understand what performance management entails as it is one of the key management functions that they are responsible to perform.

2.2.5 Performance Management System (PMS)

In his research entitled *performance management system* Kumar (2008:10) indicates that a performance management system is central to human resource management and if properly designed and implemented it could lead to organizational growth. Organisations world-wide have recognised the value of good performance management systems and embraced it as a way of formally directing the way in which performance management should be conducted in the specific organization (Aguinis & Pierce, 2008:140). In South Africa, the National Department of Education in consultation with the educators' unions agreed on a Performance Management and Development Scheme (PMDS) to be used for the evaluation of the performance of all office-based educators. The scheme is contained in a policy document known as Collective Agreement no.3 of 2002. This agreement was signed by the Education Labour Relations Council (ELRC), which is the chamber responsible to develop and monitor the implementation of agreements reached between the educator unions and the Department of Education as the employer. The Collective Agreement (3 of 2002) binds all office-based educators employed under the Employment of Educators Act no (76 of 1998) and provides guidance to supervisors on how to manage the performance of office-based educators.

2.2.6 Collective Agreement (3 of 2002)

2.2.6.1 Rationale for Collective Agreement 3 of 2002

As mentioned earlier, there has been a mounting demand for increased and better public service the past two decades (OECD Policy Brief No4: October 2004). This demand has also included the Department of Education in South Africa. As a result, a White Paper on Human Resource Management (December 1997) was released. This White Paper proposed a shift from *personnel administration* to *human resource management* in which public servants are recognized as the

most valuable resource which, if managed correctly, will drive the transformation agenda of the government (White Paper on Human Resource Management in the Public Service, 1997:9). The latter places the focus on service delivery by assigning managerial responsibility for results to the lowest practical level. This shift in approach determines that all managers (supervisors) be held responsible for the performance of their staff. Coupled with this, Schedule 1 of the Employment of Educators Act (1998), mandates the Minister of Education to set performance standards through which the performance of educators in the Republic of South Africa will be evaluated. The result was that a series of Collective Agreements were signed between the employer (i.e. the Department of Education) and labour unions. Amongst these is the Collective Agreement Act (3 of 2002) which deals with the Performance Management and Development Scheme for Office-based Educators. The agreement binds the employer (Department of Education) as well as all its employees as defined in the Employment of Educators Act (Department of Education 1998). According to the Act, the employees refer to any person who teaches and trains other persons or who provides professional educational services and are employed at departmental offices.

2.2.6.2 Purpose and aims of Collective Agreement (3 of 2002)

The purpose relates to identifying, evaluating and developing the performance of office-based educators. The aims and objectives as outlined in the agreement (Collective Agreement 3 of 2002:1) are to:

- Improve performance;
- improve the individual's awareness and understanding of his/her work objectives and performance standards expected of them;
- ensure that individuals know how their performance against these standards is perceived;
- improve communication between supervisors and staff;
- evaluate performance fairly and objectively;
- provide opportunities to identify individual development needs and to devise plans to address those needs;

- facilitate the effective management of unsatisfactory performance; and
- provide a possible future basis for decisions on rewards.

2.2.6.3 Performance Management and Development Scheme for Office-based Educators Cycle

The Performance Management and Development Scheme for Office-based Educators cycle is a cycle that coincides with the financial year cycle (1 April to 31 May). It comprises of the following key processes (Collective Agreement 3 of 2002:3): Developing of a work plan for the year; agreeing on the capabilities that a staff member will be assessed on; ongoing reviews and feedback; quarterly reviews; annual performance appraisal; personal development planning and upward feedback.

Upward feedback is an interesting process whereby staff members provide feedback about how they feel supervisors are managing them. The feedback is guided by five criteria, namely, communication, delegation, leadership/teamwork, planning and concern and respect for staff (Collective Agreement 3 of 2002:13). It provides useful insight to analyse the outcomes of these surveys on what staff members perceive on management styles of supervisors, especially in terms of the criteria and comments that relate to the roles of the supervisor in the performance management of staff.

The cycle is depicted by the following poster designed by the Quality Assurance Chief Directorate of the North West Department of Education to guide office-based educators through the Performance Management and Development Scheme processes:



2.2.6.4 Who appraises whom?

Appraisals are conducted according to the assigned line function (Collective Agreement 3 of 2002:8). That means a staff member is appraised by his/her immediate supervisor. All appraisal documents are signed by the staff member, his/her supervisor as well as the next level supervisor, also referred to as the reviewing officer.

2.2.6.5 Performance Measurement

The performance of staff is assessed using a five point scale. The rating scale is as follows:

- 5 *Outstanding*
- 4 *Very good*
- 3 *Good*
- 2 *Acceptable*
- 1 *Unacceptable*

The performance of a staff member is rated against the key objectives contained in the work plan. A rating out of five is given for each of the 4-6 key objectives that were set. An overall work plan rating is then determined out of a maximum rating of 5. The overall work plan rating is described as a judgment by the supervisor after taking into consideration which objectives have more weight, considering the level of performance in each objective and looking at contextual factors that may have had an effect on performance. The same principle is used to rate the capability of a staff member. There are nine capabilities that are identified in the Collective Agreement and every capability consists of a number of elements. Capabilities 1-5 (i.e. job performance, job knowledge and application, interpersonal relations, communication and client service) pertains to all staff members in the system, whereas capabilities 6-9 (i.e. equity, operational leadership abilities, visionary leadership abilities, conceptual and analytical skills) are only applicable to those officials who are in middle management (up to Chief Education Specialist level) positions or who supervise the work of other office-based staff. The staff member is rated against each agreed upon element of every applicable capability. For every capability an overall score out of a possible rating of 5 is determined. Then, an overall capability rating out of a maximum of 5 is allocated. Finally, the overall work plan rating and the overall capability rating is added to provide a score out of 10. This rating is used to determine what rewards an employee qualifies for. The Collective Agreement is not clear on what incentives and rewards will be given to office-based educators as educator unions and the employer have not finalised negotiations around this matter. However, in the North West Province, all employees who achieve a score from five and above out of ten are awarded a 1% (one salary notch) pay increase and those achieving from eight to ten are awarded cash bonuses on a sliding scale. The

cash bonus amount is not fixed as it depends on the available funds which are based on the determination that only 1% of the wage bill of the Department may be allocated to cash bonuses.

2.2.7 Approaches to performance appraisals

There are many different approaches that can be used when embarking on performance appraisals (Saunders, 2002:12). Following are short summaries of some of the different approaches and its characteristics as identified by Jackson and Mathis (2008:339-348), Armstrong (2009:112-118) and Pope (2005:7).

2.2.7.1 The narrative methods approach

In the narrative methods approach managers are expected to provide appraisal information in written form (Jackson & Mathis, 2008:347). They identify a number of methods that can lead to these written reports such as the critical incident method and essay writing.

(i) Critical incident method

This approach refers to the recording of all “critical incidents” such as good performance and poor performance. In other words, the actual incidents are recorded as evidence of high and low performance. This method can be used in conjunction with others to inform ratings allocated for the performance of an employee.

(ii) Essay writing

An essay is written about the performance of an employee for a specific calendar year. In some cases supervisors are free to write about anything without being given any guidelines. It does not require one to justify one's assessment. Another way to engage in essay writing is to use prepared questions that need answers as a more structured way of completing the essay on the performance of the staff member. The value of this type of an approach depends on the observational memory and the writing skills of the manager. If a manager cannot express his/her observations in writing, it leads to poor performance descriptions and vice versa.

It may be argued that this type of assessment may not be legally defensible as there are no standards or objectives but only opinions of managers.. Jackson and Mathis (2008:348) note that these types of appraisals can be useful for developmental purposes but caution that if there are no clearly defined criteria or standards it may prove to be of little value.

2.2.7.2 Trait rating

Pope (2005:7) discusses the measuring of traits as the measure of specific characteristics displayed by an employee. Pope mentions traits such as leadership and teamwork as examples. It is usually the organisation itself that decides on the characteristics which should be demonstrated by employees in performing jobs successfully. This approach proves to be popular because it is easy to design but the pitfall is that it is open to bias and subjectivity on the part of supervisors. Traits are hard to define and they are difficult to translate into behaviours that can be measured. As a result one will find that when two supervisors are confronted with the same observations or data, they would most likely reach different conclusions.

2.2.7.3 Team/peer rating approach

Peer rating is an approach where members of a team are involved in rating one another. Jackson and Mathis (2008:339) describe the method as preferable in situations where supervisors are unable to personally observe staff members. In these instances, colleagues are constantly engaging in team activities with staff members and thus know how they perform. Challenges with this approach include the potential for a negative impact on teamwork especially where poor performance is highlighted by other colleagues. It may also be that team members are fully aware of one another's performance but are unwilling to share the information.

2.2.7.4 360 Degrees assessments

The 360 degree assessment method is one of the more recent approaches to assessment. In this method traits are translated into behaviours and skills. The importance of the skills and behaviours is then rated against how successful the jobholder performs them. Armstrong (2009:112-118) describes 360 degrees feedback as feedback that has been systematically collected from various stakeholders on the performance of either individuals or groups. The employees rate themselves, are rated by the immediate supervisor and by peers, subordinates, other managers and even customers. This method is mostly used to evaluate those in management positions where the feedback serves as a process of upward feedback to managers on how they are performing. Its name is derived from the fact that a full circle of people is involved in the rating of the jobholder. One of the concerns with the method is that it is time consuming, especially if applied to lower ranking personnel. The credibility of the feedback is often questioned as many people do not always provide honest and frank comments on performance. Those who are in favour of this approach view it as a method that yields more valid feedback and argue that the results are easily accepted as it presents a more objective view on performance. The 360 degrees appraisal is based on the assumption that if staff are aware of the

difference on they are viewed it will result in an increased self awareness and such self awareness will in turn lead to better performance.

2.2.7.5 Management by objectives

This method is described by Jackson and Mathis (2008:347-348) as one in which individual performance's goals are derived from the overall goals and objectives of the organization. The individual performance goals are identified and mutually agreed upon between supervisors and subordinates. In other words, the manager and employee work together to set a group of specific goals and jointly measure and evaluate performance against it. What is critical in this way of assessment is the wording of the goals. It has to be clearly defined and measurable so that it is clear when they have been achieved or not. Management by objectives is a four stage process that involves the following:

- Job review and agreement where the job description forms the basis of the agreement.
- Development of performance standards where the supervisor and staff members agree on what will be deemed as a satisfactory level of performance that is measurable..
- Setting objectives that are both realistic and achievable
- Continuing performance discussions where supervisors and employees use the set objectives as a basis for ongoing discussions in evaluating the performance of the employee. Objectives can be modified when the need arise based on mutual agreement between the supervisor and staff member.

The following should be noted when embarking on the management by objectives approach:

- Be prepared to spend time on appraisals;
- set measurable objectives that link to the aims of the organization; and
- avoid focusing on personality traits or values without behaviours tied to them.

It is clear that the Performance Management and Development Scheme for office-based educators is based on the management by objectives approach to performance management.

2.2.8 Supervision

Supervision is derived from a Latin word “supervideo” which literally means to oversee (Oliva & Pawlas, 2004:4). In the educational context this overseeing is done with the aim to bring about improvement in teaching and it involves actions such as co-ordination, stimulating and directing staff members or educators (English, 2005:432). It is clear that supervision and performance management overlap in its aims to ensure that improvement takes place.

According to Robbins and DeCenzo (2007:5) the staff in any organisation can be divided into four levels, namely, operative employees, supervisors, middle managers and top managers. Operative employees are those who do not have any staff reporting to them, supervisors are the ones that manage the work of the operative employees and are referred to as first level supervisors as there are no managers that report to them, middle managers are those managing other managers such as first level supervisors and top management refers to managers to whom middle managers report directly and who are responsible for determining the overall objectives of the organization. They are also responsible to develop policies that will assist in achieving these objectives (Robbins & DeCenzo, 2007:6). In relation to this study the focus will be on first level supervisors as the primary enforcers of the PMDS of office-based educators.

2.2.8.1 Evolution of supervisory practices and subsequent performance management practices

Supervision has gone through many forms throughout the years because of the political, social, religious and industrial changes that took place. Although these can be categorised into major

time periods, one must note that there is no clear-cut distinction from one period to another (Burke & Krey, 2005:8). The change in supervisory practices had an impact on how performance management was perceived and conducted during these timeframes.

During the years before education was formalized (prior 1647) we find that parents and in some cases tutors were responsible for the instruction of kids and this was done at home. Parents and tutors were then also both teacher and supervisor. There was no need to manage the performance of teachers during this era. All this changed during the colonial period where a rapid growth in population caused the colonists to realize that some form of formal/structured education was needed. The passing of the Old Deluder Law (1647) by the Commonwealth of Massachusetts can be seen as a landmark of change in education (Oliva & Pawlas, 2004:4). This law stated that where a community of 50 to 100 families was found, there had to be formal instruction in reading and writing. Where 100 or more families formed a community a grammar school had to be established. The belief was that children had to be taught so that the great Deluder, Satan, could not lead them astray. The strong influence of the church on education can be seen as well as the need for supervision during this period.

(i) The period of administrative inspection (1642-1875)

Supervision over schools was mostly fulfilled by what was known as committeemen. These included clergy, parents and selected citizens. According to Burke and Krey (2005:8) all of these groups were laymen and not professionally qualified. Supervision was done in a very authoritarian way where the role of the supervisor was that of inspection (Sullivan & Glanz, 2005:7). Supervisors gave instructions to direct educational affairs and their major concern was to make judgments about the teachers with little or no focus on the instruction or the learning quality of the students. In other words, they simply checked whether teachers adhered to the rigid set of rules that they had laid out. The aim of supervision during this period was degrading and led to dismissal if they were found not to comply with the rules and regulations. Thus, supervision in the form of inspection was largely related to the managing of the school and meeting the curriculum requirements instead of focusing on the improvement of instructional

procedures. It is safe to summarise the education situation by stating that there was more of an emphasis on administration than on management. In the period 1837-1848 the strong influence of the military was also seen in the education system where grades were introduced. Horace Mann (Secretary of Massachusetts State Board of Education) created the first school in the United States of America (USA) for the training of teachers. Many changes such as the increased population, expanded education programmes, the infamous Kalamazoo, Michigan case where communities were given the right to levy taxes for secondary education, called for a new way of supervision (Oliva & Pawlas, 2004:6). The selectmen, clergy, parents and citizen's that fulfilled the roles of supervisors up to this point in history gave way to trained educators to serve as supervisors.

(ii) The period of efficiency orientation (1876-1936)

This was the time of the industrial revolution and people became more business minded. The effect was also noted on supervision in the educational context (Sullivan & Glanz, 2005:7). The emphasis was on precision and efficiency (Burke & Krey, 2005:9). Schools became highly organized and efficient. The school system became hierarchically organized and bureaucratic in nature. School Superintendents were employed during this period to fulfill a supervisory role. Supervision was in the form of inspection and was jokingly referred to as "snoopervision" (Oliva & Pawlas, 2004:6). This means that supervision was done in a way that suggested that the supervisor was seen to be snooping around for information. Presently, the focus shifted to the inspection of the instructional program in schools. The supervisors during the Industrial Revolution concentrated on the functions of teachers and assisting them in the improvement of instruction. Inspection was conducted by professionals who were appointed on a full-time basis. The task of supervisors in relation to the performance of teachers was merely to measure the output of individual subordinates (Radnor & Barnes, 2007: 386). Supervision was still reliant on the views of the supervisors instead of being based on technical or scientific knowledge. At school level, the size and complexity of schools increased and necessitated greater administrative specialization. Sullivan and Glanz (2005:9-13) identify two types of supervisors that emerged

from this situation: One was a special supervisor (often female) who was chosen by principals to help inexperienced teachers to master subjects. This was referred to as subject mastery. These supervisors had no formal training and were not involved in the evaluation of teachers. The second was a general supervisor (usually male) who was chosen to assist with more general subjects such as Mathematics and Science and they also assisted principals with administrative and logistical arrangements at school. These general supervisors could evaluate teachers as well. The gender bias of this period was demonstrated by the differentiation between these two types of supervisors. The increasing educational responsibilities during this period also introduced the cooperative and coordinative aspects of supervision. As supervision became less autocratic in nature it ushered in a new period in the evolution of supervision.

(iii) The period of cooperative group effort (1937-1959)

The evolution of supervision during this period was influenced largely by Dewey's theories of democratic and scientific thinking. Supervisors now tried to use scientific approaches and cooperative methods to solve problems. The ever expanding curriculum, according to Burke and Krey (2005:11) which now included subjects such as Fine Arts, extracurricular activities, Physical Science, Guidance, foreign languages, etc. gave rise to a new aspect in supervision referred to as special-area supervision. Due to the large number of special-area supervisors that were appointed as well as the other positions of general supervisors, it became important that a greater level of cooperation and coordination had to take place. This led to the appointment of an assistant superintendent in charge of instruction, also referred to as curriculum co-ordinators. This type of cooperation meant that a more democratic approach to supervision was adopted. Kumar (2008:18) identifies this period as the time where merit-rating as the first formal system for monitoring performance was introduced in the United States of America and the United Kingdom.

(iv) The period of research orientation (1960-1975)

Advances in the technological field and competition with foreign countries in space research resulted in the solving of problems through the application of research into various phenomena (Burke & Krey, 2005:11-12). Research was aimed at determining the nature, reason for and interrelationships between persons and situations. This led to a clearer definition of the role of supervisors. Chief administrators became mainly responsible for decision-making and allocating tasks to the various offices. Sullivan and Glanz (2005:17) mention that other levels of supervisors were now required to have the ability to analyse teaching situations and to be able to identify probable causes for poor performance through the application of research methodology. This was the period in which many theories on human behaviour came to the fore and included research conducted Maslow (1954), McGregor (1960) and Herzberg (1966) which caused a different approach to performance measurement where not only the output was measured but also included that certain social factors surfaced into the measurement of performance. According to Kumar (2008:18) this period saw the emergence of the management-by-objectives approach to performance management as well as the techniques of recording critical incidents as evidence of performance and the development of rating scales that informed the human behaviour theory. This research oriented approach to supervision and performance measurement was consistent with emerging democratic principles.

(v) The period of unification (1976-1990)

For the first time in the history of education there was a decline in learner enrolments at schools, leading to issues such as retrenchments and the reduction of other resources provided to schools (Burke & Krey, 2005:12). At the same time there was the expectancy from the community as well as the government for schools to produce better quality results despite reduced financial, physical and human resources. Teachers started uniting by forming teacher unions to address

issues of job security and job expectations. Administrators united at different levels to debate these issues. Even parents and students united to brief their concerns regarding the level of education provided. These ideas of unification resulted in the combination of previous methods used in the field of supervision. Aspects of inspection, class visitations, evaluations, human relations, data collection and improving on instruction were all combined to construct a mixed approach to supervision. During this period concepts such as total quality management (TQM) as a way of measuring performance in relation to the quality of the outcomes achieved by educators, business process re-engineering (BPR). The latter refers to an interdepartmental approach as opposed to merely a departmental view of performance focusing on service delivery as a performance measure and the balanced score card (BSC) as a management tool that measured how well strategic objectives are met (Radnor & Barnes, 2007:387).

(vi) The period of emerging participation (1991-present)

Supervision became more based on the consideration of human relations and group dynamics. There was a greater emphasis on collaboration and partnerships between supervisors and the supervised. Supervision became more entrenched in democratic principles. Currently there is a greater move towards the concepts such as school-based management which moves the location of decision-making and accountability to the level of the organisation (Burke & Krey, 2005:13). In respect to office-based educators it means that immediate supervisors, middle managers and top managers within the different sections of the department, have more autonomy in terms of how they lead and manage their sections. This is a decentralized approach. The development of standards to be achieved also prompted a change in the field of supervision. The concept that now emerged is that supervision is an aspect of leadership and that it entails developing acceptable goals, extending cooperative and democratic methods of supervision, improving classroom instruction, promoting research into educational problems and promoting professional leadership.

In other words, supervision as a concept and in relation to performance management has evolved from an authoritarian, fault-finding, bureaucratic and evaluative perspective to a more

democratic, participatory approach. According to Oliva and Pawlas (2004:9) the emphasis changed from that of a supervisor to that of supervision through collaboration and partnerships. The question is whether the participatory approach has assisted the supervisor in the roles that have to be performed when implementing the performance management system or whether it has actually brought about greater challenges for the supervisor. It will also be interesting to find out how supervisors of office-based educators apply this approach when implementing Collective Agreement 3 of 2002.

2.2.9 Roles of the supervisor in performance management

De Waal and Counet (2009:381) refer to role commitment at all levels as vitally important for the successful implementation of a performance management system. Numerous studies conducted and literatures written on performance management and supervision have identified various roles of the supervisor in relation to the management of staff performance.

2.2.9.1 Goal Setting

One of the roles emanating from the political situation in most democratic societies, including South Africa, is that of transforming the organisational culture into a culture of accountability through improved performance (Whetton & Cameron, 2005:304). Whetton and Cemaron (2005:304) see the setting of effective performance goals as the first step towards achieving this outcome. The setting of goals is identified as one of the key roles that supervisors are responsible for (Luecke, 2006:2). Leithwood and Beatty (2008:94) concur but further indicate that it is essential that there must be thorough discussions so that goals are agreed upon and achievable. It implies that open communication should be ensured by the supervisor from the beginning and throughout the performance management process. According to the Performance Management and Development Scheme for office-based educators (p3-5) the formulation of key objectives as

performance goals is located within the first step of the Performance Management and Development Scheme cycle which refers to the development of a work plan. The work plan is seen as the main document on which the annual appraisal is based. Robbins and DeCenzo (2007:333) add to the goal setting role another function and that is to ensure that the setting of standards should be an integral part of setting goals so that it is clear from the onset what level of performance should be achieved. In the Performance Management and Development Scheme for office-based educators, the setting of goals forms one aspect of drawing up the work plan. Other aspects on the work plan template include strategies on how the performance goals must be achieved, indicators of performance which can be either quantitative or qualitative or a mixture of the two, and lastly, a column to indicate notes on progress.

2.2.9.2 Monitoring and support

Jones, Jenkin and Lord (2006:79) state that the monitoring of progress should occur regularly and in a systematic way which should go hand in hand with continuous support. These are important roles associated with effective performance management. An interesting aspect identified by English (2001:7) is that of ensuring that performance management is treated as a process instead of an event. This statement implies that supervisors either do not realise that their roles in managing the performance of subordinates include ongoing monitoring and support throughout the performance cycle or they are not fulfilling the role due to some challenges experienced.

(i) Gathering data on performance

Supervisors have to play their role in gathering information about the actual performance of staff and identifying both good and poor performance (Robbins & DeCenzo, 2007:337 & 349). The gathering and analysis of performance data and information are very important if performance

coaching is to be both effective and motivational (Taylor, 2007:22). The gathering of data on the performance of a staff member can be done through observation, noting of critical incidents, creating a portfolio of evidence, employing the 360 degree approach or team appraisal methods and through constant interaction where staff members should report on the progress they have registered in the work assigned to them.

(ii) Providing feedback

Furthermore, regular feedback needs to be ensured by supervisors as a way of ensuring that performance management frameworks are successfully implemented (Bisschoff & Mathye, 2009:394). Providing feedback means that you inform a person on how well he/she is performing (Dubrin, 2005:74). In the PMDS policy (p6 of 35) it is stated that regular feedback avoids disputes at the end of the cycle because no one will be surprised at the outcome of the performance measurement. It further states that feedback provided should be both positive and negative, although it should always be done in a constructive manner even if it is negative. In the PMDS feedback can be both informal and formal. Informal feedback can occur at any time whereas formal feedback is done on a quarterly basis and involves a formal meeting between the supervisor and supervisee where a record should be kept of what was discussed and agreed upon. Luecke (2006:56) warns that the focus of feedback should always be on improving future performance and when feedback is provided, care should be taken to identify specific behaviour and performance instead of becoming personal or providing vague statements that do not clearly state what the actual performance entailed. Dubrin (2005:74) links feedback to the roles of mentoring and coaching.

(iii) Mentoring

A mentor is a person that has vast experience and who is very knowledgeable about the work. He/she is assigned to provide support and career-related advice to someone who is not as experienced in the job (Dubrin, 2005:X). It suggests that supervisors should be role models of the standard of performance that they expect from subordinates and that they should be more knowledgeable and more experienced than their staff members if they are to provide the necessary mentorship. Mentorship includes aspects of development and aspects of coaching and can be done both formally and informally (Aguinis & Pierce, 2008:143).

(iv) Coaching

Pemberton (2006:10) describes coaching as providing objective feedback to a person as a way of helping that person to recognise the situation in which he/she finds him/herself which enables him/her to take informed decisions on how to improve the situation. In relation to performance management it implies that the supervisor should assist the staff member to recognise their level of performance and in so doing create in the subordinate a desire to improve his/her performance to the expected level.

2.2.9.3 Staff appraisal

The appraisal interview is informed by the critical reflection of objective data and information that was gathered (Taylor, 2007:23). Taylor (2007:23) further mentions that the outcomes of the appraisal will be used to inform professional development, coaching and support. Staff appraisals are based on an ongoing process that involves the gathering of data on performance in relation to the standards agreed upon as set out in the performance goals to be achieved.

2.2.9.4 Performance development

The development of staff is deemed to be part and parcel of an effective supervision and evaluation system (Nolan & Hoover, 2011:26). A supervisor has to assist in ensuring that the necessary training and development programmes unfold to skill subordinates where poor performance is identified and where such performance is related to lack of capacity (Robbins & DeCenzo, 2007:337&349). The Performance Management and Development Scheme for office-based educators makes provision for the identification of training and other developmental needs (p11-12 of 35) which is captured in form 9 of the Performance Management and Development Scheme and is referred to as the personal development plan. The staff member and the supervisor are expected to identify training and developmental needs that are needed for the employee to perform duties associated with the job that they have been employed to do as well as those developmental needs that are associated with the next post level. Many supervisors think that the answer to all poor performance is to provide some kind of training. This is true only if the performance factor that is at play has to do with a lack of skills and knowledge (Sabbag, 2009:13). Sabbag (2009:13-15) clarifies the statement by indicating that a supervisor has the role to identify the performance factor that is lacking and based on the findings the supervisor and staff member can collectively decide on whether training or other intervention is needed for development to take place. For example, the challenge may be a lack of resources that will enable the staff member to perform optimally. By supplying the resources needed the problem may be solved. Sabbag (2009:10-11) developed a four-step Exemplary Performance Model that consists of the following:

Step 1: Assess and target performance: In this step the strengths and weaknesses of the employee should be differentiated. An exemplary strength and an expandable strength (the strength that can potentially become an exemplary one) are chosen while the weaknesses are ignored.

Step 2: Diagnose causes of performance: The cause or factor of performance that was responsible for the outstanding performance is identified and the factor that prevents the expandable strength from turning into an exemplary one is isolated.

Step 3: Develop and implement a plan: An action plan is then devised that can assist to transfer the exemplary strength identified to other staff members and that can help in developing the expandable strength into an exemplary one. The plan should indicate what tool(s) will be used to achieve this.

Step 4: Follow up: There should be a follow up made to evaluate the success of the development process and adjustments to the action plan should be made if necessary.

2.2.9.5 Motivation

Beatty and Leithwood (2008:89) make mention of the model of teacher performance that is described by the formula that sees teacher performance as a function of the ability, motivation and work situation of an educator ($P=f\{a,m,s\}$). These four aspects are said to depend and influence one another. Luecke (2006:18) suggests that motivation is a role that supervisors should constantly engage in as effective performance management centers on motivation. Supervisors are encouraged to create environments that are suitable to promote optimal performance so that the levels of motivation and consequently job satisfaction of subordinates could be improved. Other ways of encouraging staff are by supervisors providing those they supervise with more challenging work that appeals to their intellect (Mann, 2002:4). This can only be achieved by setting performance goals (key objectives) in the PMDS that are neither too difficult nor too easy to achieve. Mann (2002:7) also mentions that supervisors who are sympathetic towards staff by showing a high level of consideration for their personal circumstances are doing a great job in motivating them. This role is implied in the PMDS policy (p14 of 35) where one of the criteria for upward feedback to the supervisor is entitled: *concern and respect for staff*.

Rowland and Hall (2010:832) indicate that the belief that people hold about human motivation has an influence on the creation of conditions for individual performance. It is therefore important for supervisors to decide on how best to motivate staff members to perform at the expected level. There are many motivational theories that supervisors may apply. Luecke

(2006:18-21) mentions Theory X and Theory Y developed by Douglas McGregor, the Hawthorne Effect by Elton Mayo and the findings by Frederick Herzberg as models of motivation that need to be taken into consideration when dealing with performance management of subordinates. Theory X assumes that people are naturally lazy and are only motivated to perform by using greed and fear. They should be threatened with what might happen if they do not perform or they should be promised that if they do well they will get some incentives and rewards. Theory Y replaced this way of thinking by suggesting that people are naturally eager to perform and committed to delivering good work. The result has been that more collaborative approaches to work and in particular performance management were adopted. The slogan used in performance management circles today that “say nothing about me, without me” seems to hold true. The Hawthorne Effect refers to the findings by Elton Mayo that if one wants to improve employee performance then the manager should ensure that working conditions are improved. Sabbag (2009:65) uses the term work environment and suggests that it encompasses physical, emotional and interpersonal aspects. By improving the working conditions of employees, managers make them feel that they belong and that they are important. This motivates them to perform at their best (Luecke, 2006:20). Herzberg’s Motivation-Hygiene theory is also referred to as the two-factor theory of motivation because it identifies two groups called dissatisfiers and satisfiers (Koontz & Weihrich, 2008:291-292). He mentions that dissatisfiers refer to things like policies, administration, supervision, working conditions, salary, status, interpersonal relations and job security and are those things that do not lead to motivation but can cause demotivation if not present. Satisfiers are those things that do motivate and if not present they will lead to feelings of dissatisfaction. These include a sense of achievement, receiving recognition, performing duties that are challenging, advancing in the job and job growth. It is clear that the way in which supervisors decide to handle their role as motivators towards staff improvement is greatly influenced by the motivational theory that they subscribe to. Thus, the way in which supervisors perceive their roles and are committed to it will greatly impact on the successful implementation of any performance management system (De Waal & Counet, 2009:381).

2.2.10 Supervisory skills and attributes

The quote by Rowland and Hall (2010:828) that reads “*As the life span of knowledge shortens, so the value of skills is raised*” sums up the importance of acquiring the right skills needed to conduct performance management successfully. Hunt (2005:7) makes it clear that no one can be tasked to conduct performance appraisals without acquiring the necessary skills and attributes. From the roles mentioned above it is clear that a supervisor needs various skills to perform these roles.

2.2.10.1 Negotiation, bargaining and counseling skills

Hunt (2005:8) identifies the skills of negotiation, bargaining and counseling as attributes necessary when conducting appraisals. Bargaining skills are needed to come to amicable agreements on issues such as acceptable standards of performance and agreeing on the goals to be achieved. Negotiation skills bring about “win-win” situations as a way of alleviating any conflict that may arise (Hunt, 2005:82). Conflict may arise over issues such as performance targets, training and developmental needs that staff may feel they need as opposed to what the available budget may allow. Counseling skills will equip the supervisor to deal with persistent poor performance that may lead to disciplinary action of some kind or when poor performance is due to personal challenges that have been highlighted (Hunt, 2005:80-81). These are valuable skills to have within the democratic context that the Performance Management and Development Scheme for office-based educators is conducted.

2.2.10.2 Communication Skills

Good communication skills cannot be over-emphasised. There are many dimensions to effective communication skills. Communication is a two-way process. Discussions that are open and frank will ensure that goals are set that involves both parties (Leithwood & Beatty, 2008:94). If this type of communication is done regularly in the form of both formal and informal performance feedback then there will not be any conflict during the annual performance appraisal process. Communication should be clear at all times. This is especially important where poor performance is identified and where the supervisor has to provide clear guidance on what is expected from the staff member (Mann, 2002:3). Communication also has to be a two-way process. A link can be established between two-way communication and participatory decision making skills where understanding how subordinates think is identified as an important skill for supervisors (English 2001:12). Jones, Jenkin and Lord (2006:91) highlight the fact that supervisors need to be skilled in providing proper feedback. Two-way communication is essential during such feedback sessions and the use of good questioning techniques is essential in ensuring that this type of communication occurs. In effective communication there is both a need to ask questions and a need to listen to input (Forsyth, 2004:117). This is important in the performance management process as listening to staff will create feelings that they are important enough to be listened to which in turn will motivate them intrinsically to improve on their performance.

2.2.10.3 Process thinking skills

Managers need process thinking skills which refer to the skill of understanding what the outcomes to be achieved are and knowing who relies on whom to get the job done (English 2001:12). In the modern working environment there is a greater emphasis on the performance of the individual as it relates to the achieving of team objectives. As individuals work in units that are geared towards achieving unit objectives it is essential for line managers to have process

thinking skills. It is also a fact that within an organization one finds that work units do not operate in isolation and that the successful achievement of set objectives in one unit depends on the support and input provided by another.

2.2.10.4 Coaching, mentoring and motivational skills

A skill that is often overlooked is that of coaching. Pemberton (2006:vii) stresses the importance of coaching as a skill to be used towards improved performance. Jones, Jenkin and Lord (2006:83) add elements of discussion and guidance to the coaching process. Coaching is a skill that is used to motivate staff intrinsically towards improved performance. Coaching is seen as a mentoring behaviour (Dubrin, 2005:162). A mentor should thus possess coaching skills. Dubrin (2005:164-165) lists teaching - and counseling skills and states that they are associated with mentoring. Coaching and mentoring form part of the motivational skills that supervisors can use. In their book *Motivating people for improved performance*, the Harvard business school explains that motivation can be seen as a combination of managerial skills (2005:4).

2.2.10.5 Emotional intelligence

One of the latest concepts in human behaviour to be developed is that of emotional intelligence. Heystek, Nieman, Van Rooyen, Mosoge and Bipath (2008:76) identify emotional intelligent people as those with the ability to say what they feel without causing harm or being destructive to those that they are expressing their opinions to. These individuals are seen as positive, self-motivated and optimistic and are the type of managers that have excellent self and social awareness and are able to manage themselves as well as their relationships with others (Heystek et al, 2008:76-77). Without emotional intelligence it may be very difficult to motivate staff members to perform to the best of their ability.

2.2.10.6 Objectivity, honesty and sincerity

An ability that is important for supervisors to have is that of being objective during the evaluation of performance (Heystek, Roos & Middlewood, 2005:101). In other words supervisors should be able to evaluate performance in such a manner that if another person has to evaluate the same employee under the same conditions and give the same evidence of performance, the evaluation result should be the same. Robbins and DeCenzo (2007:330) add honesty and sincerity to the list of attributes necessary for those in charge of appraisals. Unless a supervisor displays these traits their staff members will lose faith in the credibility of the Performance Management and Development Scheme.

The list of skills and attributes provided is by no means exhaustive, but only serves to stress the fact that for every one of the roles that a supervisor has to perform in the performance management process there is an accompanying skill that the supervisor needs to have for the supervision to be deemed effective.

2.2.11 Challenges facing supervisors in implementing performance management systems

Throughout the years there have been many challenges that have been documented in relation to performance management systems. For purposes of this study only those that are directly linked to the roles of supervisors will be highlighted.

2.2.11.1 Low morale

The first challenge pertains to the low level of teacher morale in general (English 2005:430). Office-based educators are no exception. Despite many factors that lead to low morale, the

performance management and development system is also directly responsible for the lack of motivation. This is due to the fact that the identified developmental needs are not addressed (Hunt, 2005:4). The reasons may be due to budget constraints. The fact that rewards and incentives are not clearly spelt out and often inconsistently implemented are contributing factors to the low morale of educators in relation to performance management systems. Many staff members are demotivated by the supervisor's approach of trying to coerce staff members into performing at the expected level because they hold to the dictates of Theory X that staff lack intrinsic motivation and are therefore lazy and uncooperative. In some extreme cases this may lead to supervisors behaving in a disrespectful manner towards staff members where supervisors resort to screaming, intimidation, ridiculing and humiliating employees in an attempt to move them to do what is expected from them (Thau, Bennet, Mitchell & Mars, 2008:2). Staff are demotivated by such behaviour and often retaliate and act defiantly towards the supervisor in such circumstances (Thau et al, 2008:2). When supervisors become too demanding it leads to staff members feeling exploited and this leads to high levels of absenteeism and staff turnover (Whetton & Cameron, 2005:304).

2.2.11.2 Linking rewards to performance appraisals

There has been a lot of debate on whether performance measurement for rewards and performance measurement for development should be delinked or not. Where rewards and incentives are linked to the measurement of performance one finds that supervisors are tempted to award scores that are inconsistent with actual performance (Heystek, Roos & Middlewood, 2005:113). Many supervisors allocate high scores when conducting performance appraisals because they fear that subordinates will be disgruntled when scores are lower (Robbins & DeCenzo, 2007:345). This may end up frustrating high performers as those that do not perform optimally still achieve the same performance scores. This in turn may lead to disillusionment on the part of high performers. In the end the performance appraisal becomes nothing more than a mere paper exercise where the main aim is just to complete the forms (Hunt, 2005:5). Whetton and Cameron (2005:310) state that if incentives are linked to performance measurement. The

role of supervisors to differentiate between high and low performers becomes increasingly important. However, it should be noted that supervisors find it difficult to identify poor performance (Whetton & Cameron, 2005:299).

2.2.11.3 Insufficient training for supervisors

The issue of insufficient training has to be highlighted as a challenge. Up to now there is very little evidence of any formal training or guidance provided to skill a supervisor for the roles that he/she has to perform when engaging in the performance management process (Rowland & Hall, 2010:832). Foskett and Lumby (2003:113) allude to the fact that supervisors need training in the use of the instruments that will be used when appraising staff and also indicate that they should be taught how to keep record of critical incidents throughout the performance management cycle. Heystek et al (2005:118) speak about compiling a portfolio of evidence and that clear guidelines are needed on how this should be done if it is to be used. The challenge seems to be lack of experience and know-how in this regard. That is why Elizabeth and Pope (2004:109) state that performance management is in itself a skill that can only be learnt through training and by being involved in the process as no manager comes fully equipped to do it when appointed into the post.

2.2.11.4 Time consuming

Supervision of performance management is a time consuming process. Many supervisors and staff find performance appraisals to be a fruitless exercise in which a lot of time, resources and energy are wasted (Hunt, 2005:2). The impression that is created is that the supervision of performance management is an add-on function and not part of the daily responsibilities of the supervisor and therefore it is considered to be a challenge. The goal of any supervisor is to assist staff members in achieving the desired quantitative and qualitative performance (Simmons-

Welburn & McNeil, 2004:68). To achieve such a goal requires a lot of time and many supervisors are tempted to brush aside this responsibility due to time constraints.

2.2.11.5 Subjectivity during performance evaluations

Heystek et al (2005:113-114) and Robbins and DeCenzo (2007: 343-344) list the latitude factor, halo effect, agreement errors, lower evaluator motivation, low differentiation, pressure information and recency error as some of the factors that can compromise the objectivity of a performance evaluation. The latitude factor has to do with the setting of standards in accordance to the personal convictions of the supervisor where performance is then measured against personal views. Performance scores are higher for those who excel according to those personal convictions of the supervisor. The halo effect is the term used when high scores are allocated in all criteria when the subordinate excels only in some that are seen as important. In some cases an error occurs when the supervisor is very keen on a certain criteria such as arriving on time and those that comply are scored higher during their evaluation. Often marks are rewarded that are seen to be more realistic as opposed to scores that reflect reality because the evaluation is linked to rewards and incentives. This is referred to as lower evaluator motivation. In terms of low differentiation it is found that all individuals are scored the same irrespective of their different performance levels. There are instances whereby supervisors as evaluators only decide on the criteria for the performance evaluation after the evaluation took place because there is pressure to do so. This is referred to as pressure information. In the case of recency one finds that if the appraisal is based on performance over a long period of time, the performance level in the most recent activities is considered when scores are allocated. Subjectivity during performance appraisals can demotivate hardworking staff members and cause the performance management system to lose its credibility.

2.2.11.6 Lack of commitment

No performance management system can be successfully implemented if both supervisors and staff members are not committed to the process (Hunt, 2005:36; Hartle, Everall & Baker, 2001:53). Many reasons have already been alluded to about possible factors that may lead to lack of commitment such as time constraints, not seeing the value of the performance management system, being demotivated because training and development programmes do not unfold as expected and unfair and biased performance evaluations.

2.3 SUMMARY

The review of literature has provided valuable insight into the nature of supervision in performance management and how the two concepts have evolved over the years. The roles associated with the supervision of performance management include the setting of measurable goals, monitoring and support such as the gathering of performance data, providing mentoring, coaching and motivating staff to perform at higher levels and ensuring that training and developmental needs are identified and catered for. There are several challenges that supervisors are faced with in fulfilling the roles identified. These include challenges of low morale amongst staff members, lack of commitment at all levels, time constraints, inadequate training on how to conduct effective performance appraisals and the difficulty to remain objective during performance evaluations. The acquiring of essential skills such as effective communication skills, good mentoring, coaching and motivational skills, negotiation, bargaining and counseling skills together with the cultivating of attributes such as objectivity, honesty, fairness and the ability to measure performance accurately will greatly assist supervisors in performing their roles in the management of staff performance. It is critical to investigate whether supervisors of office-based educators that implement the Performance Management and Development Scheme for office-based educators know and understand the roles they have to perform when engaging in the performance management of their subordinates. It is also essential to test whether the theory

presented in the literature review correlates with the experiences of supervisors and their staff members. Lastly, the identification of possible skills gaps will provide valuable insight into the area of training needs that should be embarked upon to ensure that supervisors are properly skilled in conducting the roles associated with performance management.

Chapter 3 will deal with the implementation of the research design and methodology.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

In the previous chapter a thorough review of literature on the nature and scope of supervision in performance management was discussed. The chapter expanded on the evolution of supervision in performance management, the performance management system used for office-based educators known as Collective Agreement (3 of 2002), the roles of a supervisor in managing the performance of subordinates as well as the skills, challenges and possible training gaps that may be associated with the roles identified as discussed in literature and previous studies conducted.

A clear distinction was made between research planning and research methodology (Leedy & Ormrod, 2005:87). This is because research planning refers to a general approach that can be applied across different disciplines whereas research methodology refers to the specific data collection and analysis methods used in a particular discipline that is suited specifically to that discipline. In this chapter the research methodology best suited and used in the investigation of the roles of the supervisor in the performance management of office-based educators at the Corporate Centre of the Department of Education in the North West Province will be outlined.

3.2 RESEARCH QUESTIONS

The following research questions are used to guide the study:

- What does the performance management of office-based educators entail?
- What are the roles of a supervisor in the successful implementation of the performance management and development scheme for office-based educators?

- Which skills can be identified for a supervisor to have to effectively implement the Performance Management and Development Scheme for office-based educators?
- What are the challenges experienced by the supervisor in trying to fulfill these roles?
- What type of training does a supervisor need in order to perform their roles in the Performance Management and Development Scheme better?

3.3 RESEARCH DESIGN

The research design is based on the underlying philosophical assumptions about the nature of truth (ontological assumption), the relationship between those who know and what is known (epistemological assumption), the methods on how best to uncover it and the consequent specifications on selecting the respondents, data gathering and data analysis techniques (Nieuwenhuis, 2010:70). In choosing the appropriate research design consideration is given to the philosophical assumptions, methods of inquiry, research methods, the research problem under study, the researcher's personal experiences and for who the research study is written (Creswell, 2009:xxii). Maxwell (2005:3) indicates that a good design is one in which all components work together in a harmonious fashion whereas this is not the case in a poor design. Three types of research designs can be identified, namely quantitative, qualitative and mixed methods (Creswell, 2009:3). In this study a qualitative design was adopted.

3.3.1 Research paradigm

The research paradigm refers to the way we think and go about the research (Johnson & Christensen, 2010:31). In this study a qualitative paradigm was followed. The qualitative approach is also referred to as the interpretative, constructivist or post positivist approach and has the purpose of describing and making sense of the phenomenon under study through the perspective of the participants in the study (Leedy & Ormrod, 2005:94). Data was collected in

But I saw an improvement in the way in which he tried to manage the sub-directorate and he was even more open to say Chief if there is anything that you are not happy about let's not wait until the assessment or until the review let's deal with the issue immediately (Interviewee 3).

For me it's helping because it's pinning down those areas that I need development on (pause) because remember this is a process, this is a journey we learn every time when we become in contact with other people (Interviewee 5).

4.4 DATA COLLECTED THROUGH OPEN-ENDED QUESTIONNAIRES ADMINISTERED TO STAFF MEMBERS

The questionnaire was divided into section A and section B. Section A required the respondents to provide biographical data about their age, gender, the Chief Directorate they belong to, the position they hold, the number of years that they are in the current position and the number of years that they have been a staff member under the leadership of the current supervisor. The items under section A were numbered from 1-6. Section B contained open-ended questions numbered as item 7 and was further divided into questions 7.1 to 7.4

The analysis of the findings from the questionnaires is as follows:

4.4.1 Section A: Biographical Data

Item 1: Age

The majority (50%) of respondents were in the age bracket of 41 to 45. There were 30% of respondents between ages 46-50. The remaining respondents were in the age group 36-40 (10%) and in the age group 51 and above (10%).

Item 2: Gender

The overwhelming majority (80%) of respondents were female and only two (20%) of the respondents were male. This could possibly indicate that the majority of supervisors are males and that the lower post levels are still occupied by mostly females. This may be a topic for future research into the question of whether the past gender inequalities in the appointment of supervisors have been adequately addressed through the transformation processes that the government has put in place over the past few years.

Item 3: Chief Directorate

There were an equal number (two) of participants each from the five Chief Directorates, namely Quality Assurance, General and Further Education and Training Services, Adult Education and Training Services, Auxiliary Services and the Human Resource Chief Directorates. All the respondents were selected based on purposive sampling methods and the criteria used was to select those that were under the supervision of the current supervisor for three years or longer and those that had at least three years experience in the implementation of the PMDS policy.

Item 4: Position held in the office

The overwhelming majority (60%) of respondents are employed as Deputy Chief Education Specialist which means that their immediate supervisors are on the Chief Education Specialist post level. The remaining few (40%) are employed at the Senior Education Specialist level which means that their supervisors are Deputy Chief Education Specialists.

Item 5: How long have you been in that position?

Most (50%) of the participants held the current position for more than five years which means that they are fairly well-experienced in their current posts. A few (20%) of the respondents have three years experience and a few (20%) have four to five years experience. This means that all respondents sampled adhered to the criteria of a minimum of three years experience in their current positions.

Item 6: How long have you been under the supervision of the current supervisor?

The greater number of respondents (40%) indicated that they served more than five years under the current supervisor, whereas some (30%) indicated that they served for three years and the remaining few (30%) indicated that they have been under the supervision of their current supervisor for at least four to five years. All respondents fit the criteria of serving at least three years under the current supervisor and therefore the performance of all ten respondents were supervised by the current supervisor for at least three years.

4.4.2 Section B: Responses to open-ended questions

Item 7: Respondents were urged to respond to the questions as honestly and as comprehensively as possible. The purpose of the questions under this section was to draw on the experience of office-based educators to determine what they perceive the roles of a supervisor are in managing their performance. It also aimed at determining the skills they have identified as important for the supervisor to have in order to perform these roles. Their views were also solicited on which of the skills and attributes the supervisor already possess and for which they think training is

needed. Lastly, there was a question under this section that asked staff members to identify challenges that made it difficult for the supervisor to adequately perform the roles identified.

Item 7.1 What in your opinion are the most important roles that a supervisor has to perform in managing the performance Management and Development System (PMDS) for office-based educators?

4.4.2.1 Roles of supervisors identified by staff members

The responses from the ten questionnaires analysed indicated five broad categories on the roles of a supervisor in managing the performance of office-based educators. The following categories were identified:

(i) Implementation of the Performance Management and Development Scheme policy

The overwhelming majority (70%) of the participants indicated that one of the main roles of a supervisor is to implement the Performance Management and Development Scheme policy for office-based educators. Some of the responses given were as follows: *“To effectively and correctly implement PMDS”* (Staff member 1), *“Advise colleagues on what to do regarding PMDS”* (Staff member 3) and *“have a meeting with staff members to explain the PMDS cycle. Indicate to them how forms are correctly filled. Clearly discuss with them the key stages of the cycle and requirements at each stage”* (Staff member 5).

(ii) Providing support

Many (70%) of the participants highlighted the role of providing support as one associated with the supervisor. They mentioned things like: *“He has to advise on certain skills, give support”*

(staff member 6), *“The role of the supervisor is to guide, motivate and support colleagues as to how best we can manage the PMDS”* (Staff member 8), *“develop a programme for coaching and mentoring”* (Staff member 9) and *“to organise developmental workshops or training needed by staff members”* (Staff member 1).

(iii) Performance Planning

The overwhelming majority (70%) of the participants provided responses that can be categorised under this section. Some of the responses were structured as follows:

Formulation of work plans and job description: Plan PMDS meetings and notify staff members about the meetings in time (Staff member 10).

My supervisor and I have to agree on my job objectives and capabilities first (Staff member 4).

Jointly work with staff to develop work plans and to unpack capabilities (Staff member 5).

Draw up a management plan in line with the provincial one (Staff member 2).

(iv) Providing ongoing reviews and feedback

An overwhelming majority (80%) of the participants indicated that providing ongoing reviews and feedback are important roles of a supervisor in managing the performance of office-based personnel. Amongst others staff members indicated *“completion of quarterly reviews”* (Staff member 10), *“explain the feedback given to them that will make PMDS an easy work to do”* (Staff member 8), *“hold meetings with me to discuss my key performance areas and where changes are needed”* (Staff member 4), and *“continually review member’s work and provide feedback”* (Staff member 9). Staff member 6 and staff member 7 remarked *“He has to supervise”*

4.5.1 Roles of supervisors according to Collective Agreement (3 of 2002)

The roles of the supervisor are not specified in a specific section in the Collective Agreement (3 of 2002) but appear under various sections that are discussed in the policy document.

4.5.1.1 Performance planning

According to Collective Agreement (3 of 2002:3) the supervisor in consultation with the staff member is responsible to develop a work plan that forms the basis for the annual performance appraisal that is conducted at the end of the performance cycle. The work plan outlines the key objectives that have to be achieved, the actions or strategies that will be employed to achieve these objectives, the performance indicators that will serve as evidence that the objectives have been met and lastly there is a column where notes on progress registered, changed circumstances, priorities as well as resources needed (Collective Agreement 3 of 2002:4). The policy further states that before discussing the work plan there should be a clear understanding between the supervisor and the staff member on what the job roles and objectives are for the post that the staff member occupies. This implies that there should be a job description that clearly outlines what is expected from the staff member in the position that he/she occupies. The policy (Collective Agreement 3 of 2002:4) further indicates that a discussion against the work plan should include a discussion around the resources that will be needed for the staff member to achieve the set objectives.

4.5.1.2 Developing a positive performance culture

In order to develop a positive and effective work culture based on the values of the Department of Education, supervisors are expected to discuss the capabilities that are expected of every staff member to display (Collective Agreement 3 of 2002:5). The collective agreement outlines nine specific capabilities which are subdivided into key elements for each. It is prescribed that all staff will be appraised on capabilities 1-5 and that all supervisors will be appraised on all nine capabilities (Collective Agreement 3 of 2002:6). The capabilities are listed from number one to number nine as follows: job performance, job knowledge and application, interpersonal relations,

communication, client service, equity, operational leadership abilities, visionary leadership abilities, conceptual and analytical skills.

4.5.1.3 Performance reviews and feedback

Another one of the roles that is mentioned in the Collective Agreement (3 of 2002:6-7) is that of providing ongoing informal reviews and feedback on how the staff member is performing as well as providing formal written reviews and feedback on performance during a formal quarterly review and feedback meeting. The reviews and feedback are based on performance against the set work plans and capabilities discussed between the supervisor and the staff member. It also provides an opportunity to discuss and arrange for any training and development needs that may be deemed necessary.

4.5.1.4 Conducting performance appraisals

The supervisor should have a thorough discussion with the staff member about his/her performance (Collective Agreement 3 of 2002:7-8). Thereafter the supervisor is responsible to evaluate the performance of the staff member by rating his/her performance against both the work plan and the applicable capabilities.

4.5.1.5 Manage poor performance

The supervisor is expected to be aware of poor performance and to manage unacceptable performance by devising a plan to improve the level of performance (Collective Agreement 3 of 2002:11).

4.5.1.6. Training and development

A supervisor is responsible for discussing and identifying training and development needs that will assist a staff member to improve their performance in the current post that they occupy as

well as to identify those developmental needs that can assist the staff member in career development opportunities.

4.5.2 Upward feedback

4.5.2.1 What the policy says about upward feedback

Upward feedback is a process in the Performance Management and Development Scheme whereby staff members provide feedback to their supervisors on how they experience their supervision. The policy (Collective Agreement 2 of 2003: 13-14) provides five criteria against which the staff members should provide comments on strengths and give recommendations for suggested changes or improvements in relation to each criterion. The criteria include communication, delegation, leadership/teamwork, planning and concern and respect for staff. According to the Collective Agreement (3 of 2002:12) it is stated that upward feedback occurs at two stages. The first is during quarterly reviews where one-to-one feedback occurs from an individual staff member to the supervisor. The second stage occurs at the annual performance evaluation time where all the staff members reporting to the same supervisor complete a written feedback form (form 4 of Collective Agreement 3 of 2002) about the supervisor. The form is constructed in table format which has three columns and five rows. The columns contain the headings “Criterion”, “Strengths” and “Suggested Changes/ Improvements”. Under the heading “Criterion” five criteria are mentioned. Staff members are expected to complete the information on each criterion under the “Strengths” and “Suggested Changes/ Improvements” columns. A copy of this form is submitted to the second level supervisor who takes the feedback into account when conducting the annual performance appraisal of the first level supervisor.

4.5.2.2 Analysis of upward feedback provided to supervisors

Five completed upward feedback forms were collected from five different work sections across the various Chief Directorates within the Corporate Centre of the North West Department of Education. The forms collected were from the sections of the supervisors that were interviewed. The analysis of the second stage of upward feedback as recorded on Form 4 of the Collective Agreement (3 of 2002) provides the following information:

Communication

In the majority of cases the comments under the “strengths” column indicate that regular meetings are held, regular constructive feedback is given and communication is open and frank. Some of the comments made were as follows: *“He always shared information and is very passionate about research”* (Section 1), *“The supervisor communicates openly and frankly with other officials and stakeholders”* (Section 5) and *“He holds regular meetings internally and also with Regional colleagues”* (Section 3).

The recommendations for development include comments about listening skills that can be improved and suggestions on holding regular staff meetings to improve communication. Staff members from section 4 put it this way: *“Listening skills with all staff members can still improve”* while the staff from section 1 stated: *“Regular staff meetings will assist in emphasising the salient points that might be overlooked in e-mails”*.

Delegation

Comments made indicated that tasks are normally delegated by supervisors. Comments also indicated that tasks are delegated in such a way that it developed the skills of the staff members. It also allowed them to be innovative and to take initiative in the assigned tasks. Some of the comments included: *“Distributes work well mindful of members’ strengths and abilities”* (Section 2) and *“There is reasonable delegation of tasks to develop and broaden skills with clearly explained expectations and provision of support where needed”* (Section 5).

In a few instances it was suggested that the way delegation is done should be improved if that tasks need to be delegated as a whole and it should allow all staff members to have equal chances of being exposed to the task. A few of the forms indicated that the supervisor should act against non-performers and that the provision of resources will ensure that delegated tasks are performed faster and at the expected level of performance. These sentiments were expressed in the following manner:

Take action against non-performance and enforce meeting of time frames (Section 1).

Delegation patterns needs to improve in order to give equal chances and exposure for all staff members (Section 4).

Provision of resources would enhance excellent execution of delegated tasks within set time frames (Section 5).

Leadership/teamwork

In a few cases the comments made showed that the supervisor leads by example. All forms commented that the supervisor either encourages team work or is a team player him/herself. Section 2 put it this way: *“A good team player. Concerned about building team spirit and unifying the sub-directorate”*.

On a few of the forms the recommendations made encouraged the supervisor to deal with poor performance. This was mentioned by section 3 when remarking: *“Needs to confront poor performance when necessary”*. Some of the forms indicated that the supervisor should ensure that scheduled timeframes are adhered to and that the supervisor should listen more to the staff members and demonstrate greater respect for their viewpoints. This was captured by the staff members of section 4 with the following comment: *“More tolerance on different viewpoints and on listening skills of different staff members. Should demonstrate more respect for staff member’s input”*.

Planning

The majority of the forms indicated that the supervisor is a good planner. Some of the reasons provided stated: *“He convened meetings where activity plans were synchronised with the Operational plan”* (Section 1) and *“Spends time planning and exploring ways of bringing improvement within the sub-directorate”* (Section 2).

In the majority of cases the suggestions made to the supervisor are that he/she needs to review and monitor the plans made. Some of the comments captured were as follows: “*Should monitor progress on a regular basis*” (Section 3) and “*There is a need to continually review the implementation of the operational plan v/s the activity plans*” (Section 1).

Concern/respect for staff

The overwhelming majority of the forms indicated that the supervisor has respect for the staff and acts in a considerate manner regarding their personal and professional needs. This was stated as follows:

Always supportive to staff members problems and thus treating others with respect (Section 3)

The supervisor is considerate and pays respect to other officials' personal circumstances and set meetings when all staff members can attend. He also sets reasonable deadlines and recognizes individual achievements and team efforts (Section 5).

A few forms contained suggestions that the supervisor should deal with challenges in a decisive and timely manner. The groups commented by saying: “*deal decisively with non-compliance, particularly lack of adherence to set time frames*” (Section 1) and “*should attend to problems as they come*” (Section 3). There was also a suggestion that dealt with cultural diversity by section 4 when writing: “*Need to be more sensitive towards personal concerns and be little bit more aware of the cultural diversity*”.

4.6 SUMMARY

The data analysis provided in this chapter indicated the data gathered from the five interviews conducted with first level supervisors and the data gathered from open-ended questionnaires administered to ten staff members from the five Chief Directorates of the corporate centre of the

North West Department of Education. It also provided data gathered through the perusal of the Collective Agreement (3 of 2002) as the policy that directs the performance management of office-based educators as well as upward feedback forms that contain comments about how the supervisors are managing their staff members. The next chapter will provide the summary, findings, recommendations and conclusions that can be drawn from the study undertaken.

CHAPTER 5

SUMMARY, SYNTHESIS OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

The purpose of this study was to explore the views of a sample of Corporate-based first level supervisors and some of their staff members on the roles of a supervisor in the successful implementation of the Performance Management and Development Scheme for office-based educators in the North West Province. The study was guided by five research questions, namely:

1. What does the performance management of office-based educators entail?
2. What are the roles of a supervisor in the successful implementation of the performance management and development scheme for office-based educators?
3. Which skills can be identified for a supervisor to have to effectively implement the PMDS for office-based educators?
4. What are the challenges experienced by the supervisor in trying to fulfill these roles?
5. What type of training does a supervisor need in order to perform their roles in the PMDS better?

These questions served as a guide to the study in order to achieve the aims of the study which were as follows:

- To determine the views of supervisors and office-based educators on what the roles of the supervisor are in the effective implementation of the Performance Management and Development System.
- To identify the critical skills needed by a supervisor to effectively implement the performance management and development system.

- To develop guidelines for an effective training programme that could assist the supervisor to be better skilled for their roles of managing the performance of office-based educators

The researcher conducted a thorough literature study to determine what previous scholars discovered in relation to this topic and what has been documented about the roles of the supervisor in performance management. Thereafter the researcher made use of qualitative research methods to find out what the experience of those involved with the PMDS for office-based educators are by conducting interviews with first level supervisors and administering an open-ended questionnaire to staff members within their natural working environments. The researcher further engaged in document analysis by reviewing Collective Agreement (3 of 2002) which is the policy that guides the PMDS for office-based educators and by analysing a sample of upward feedback forms completed by various sections within the Corporate Centre of the North West Department of Education. Five first level supervisors and ten staff members participated in this study. The data collected was coded, analysed and organized according to the research questions. The findings are presented in this chapter by comparing the data collected from the interviews, open-ended questionnaires, the PMDS policy documents and the upward feedback documents perused. The findings from the empirical investigation are then compared to the findings from the literature review to determine similarities and differences. This chapter provides a summary of the previous four chapters, the main findings and conclusions from the study, recommendations made on the basis of conclusions from the findings and some suggestions for further study. The chapter ends with concluding remarks.

5.2 SUMMARY

The main aim of any performance management system is to bring about improvement in performance. The improvement in the performance of staff is essential for any organization to experience sustained success in achieving its objectives (Jones, Jenkin & Lord, 2006:75). This improvement in individual performance can only take place if there is proper management of

such performance. It becomes crucial therefore to identify the roles of the supervisor in managing the performance of office-based educators within the North West Province.

Chapter one provided the background to the study, the statement of the problem, aims of the study and the research questions that guided the study. The chapter further highlighted the research methodology employed in the study and the limitations of the study. The chapter concluded with the definition of terms and an outline of the demarcation of the study.

Chapter two presented the literature review and shared information on the nature and scope of performance management and supervision practices. The chapter provided information from literature on how supervisory practices evolved from its early beginnings into its current form. It also provided an insight into the performance management system used for office-based educators in South Africa. The chapter also indicated the roles of a supervisor, the skills and attributes that are required of the supervisor and the challenges experienced by the supervisor in the performance management of teachers that are school-based as well as staff from various other work sectors.

Chapter three outlined the research methodology used in the study by referring to the research design, selection of participants, research instruments used in the study and the data analysis methods used to analyse the gathered data. The chapter further described how the trustworthiness of the study was ensured and stated the ethical considerations that were taken into account in the study.

Chapter four presented the data that was gathered and analysed. The data was presented in narrative format by quoting the exact words from those interviewed as well as the words from the participants that completed the open-ended questionnaires. Extracts from the upward feedback forms and the Collective Agreement (3 of 2002) were also quoted as part of the narrative presentation of the data collected. The chapter was structured according to the different data collection methods used and the themes and sub themes that emerged from the data.

Chapter 5 now provides the summary of the research, the findings, recommendations related to this study as well as possible future studies and recommendations that are derived from the findings.

5.3 FINDINGS

The findings are discussed under the following analytic categories that emerged from the research questions and the aims of the study stated earlier:

Perceptions on the roles of the supervisor in the Performance Management and Development Scheme of office-based educators (As it relates to research questions 1 and 2 as well as Aim 1 of the study)

Perceptions on the skills and attributes that a supervisor need to perform their roles in implementing the Performance Management and Development Scheme successfully (This relates to research question 3 and Aim 2 of the study).

Perceived challenges facing the supervisor in implementing their roles in the Performance Management and Development Scheme for office-based educators (This analytical category relates to research question 4).

Training needs identified to assist the supervisors in implementing their roles in the Performance Management and Development Scheme for office-based educators (This relates to research question 5 and Aim 3 of the study).

All findings are discussed based on comparisons between the data collected from: the interviews with supervisors, the open-ended questionnaires completed by staff members and the document analysis made of the policy document and upward feedback forms. In all instances these findings are then compared with the findings from the literature review to determine whether it confirms or disconfirms those findings and whether new information has emerged that may not have been captured in previous studies conducted.

5.3.1 Perceptions on the roles of the supervisor in the Performance Management and Development Scheme of office-based educators

The first research question was aimed at determining what the performance management of office-based educators is all about. Research question two narrowed down the scope for the first research question. The focus of the study was thus to determine first hand the views of supervisors and staff members on the roles that a supervisor has to perform in managing the performance of office-based educators. The following roles of the supervisor in the implementation of the Performance Management and Development Scheme for office-based educators were identified by supervisors and staff members:

- Performance planning;
- conducting performance reviews as a way of monitoring performance;
- ensuring the successful implementation of the PMDS policy;
- providing ongoing support to improve the performance of staff members;
- evaluating performance in a fair and transparent manner;
- reporting on performance; and
- motivating staff to perform better

It was interesting to note that, although there was agreement on the major roles of the supervisor in the management of the Performance Management and Development Scheme for office-based educators, there were some areas that were emphasized more by supervisors and others that weighed heavier for staff members. In performance planning, for example, the supervisors placed a greater emphasis on setting standards and explaining the ratings whereas the staff members indicated the development of work plans and agreeing on capabilities as primary concerns. This may indicate that supervisors are more concerned about the outcomes of these roles and that the staff members are mostly interested in the processes of the performance management. This argument may be strengthened by the fact that the reporting of performance

as a role was identified by supervisors and not by staff members. Another observation was that staff members indicated that the supervisor has a role to motivate staff whereas this role was not indicated by the supervisors.

An analysis of the Performance Management and Development Scheme policy, Collective Agreement (3 of 2002) indicated that the roles identified through the interviews and responses on the open-ended questionnaires from staff members correlate with those identified in the policy document, namely, performance planning through the joint development of the work plans and agreement on the capabilities to be evaluated, performance reviews and feedback which is done informally on an on-going basis and formally in the form of quarterly reviews, conducting of annual performance appraisals and identifying training and developmental needs. One area that is also emphasised in the policy is the role of managing poor performance of staff. It seems that this role was overlooked by supervisors and staff members alike. That is probably why this aspect is highlighted in the upward feedback forms as an area for development where numerous comments were made that the supervisor should deal with issues on non-performance. For example the comments made by Section 1 when remarking: *“Deal decisively with non-compliance, particularly lack of adherence to time-frames”* and Section 3 that recommended the following: *“Needs to confront poor performance when necessary”*.

The findings from the empirical study on the roles of the supervisor confirms the findings from the literature review which highlighted the roles as the setting of performance goals (performance planning), monitoring and support, conducting staff appraisal (evaluating performance), performance development (as part of providing support) and motivation. Oliva and Pawlas (2004:23) developed a conceptual model on supervisory behaviour that identifies four roles of a supervisor as the roles of a coordinator, consultant, group leader and evaluator. These roles may vary depending on the context within which the supervisor operates (Oliva & Pawlas, 2004:23). The following comments made illustrate that the four roles identified are the same as those derived from the empirical findings:

It is the supervisor who acts as link between programs and people. He or she knows the disparate pieces of the educational process and directs the actions of others to make the pieces blend. As a director of staff development, the supervisor plans, arranges, evaluates and often conducts in-service programs with and for teachers. At times, the supervisor may simply furnish

necessary information and suggestions. At other times, he or she may help teachers define, set and pursue goals.

The supervisor as group leader works continuously to release the potential of groups seeking to improve curriculum, instruction, or themselves.

Additionally, the supervisor helps teachers evaluate their classroom performance, assess their own strengths and weaknesses, and select means of overcoming their deficiencies.

The only role that did not come out clearly in the literature review was that of ensuring the successful implementation of the policy that directs the performance management system. The reason may be that there are different types of performance management systems as described by Aguinis and Pierce (2008:140) when they remarked:

Performance management systems can be based on a consideration of behaviours (i.e. how work is completed), results (i.e. outcomes produced) or both. For example, management by objectives (MBO) can be part of a performance management system that is based on measuring results. There are other types of performance management systems that place the emphasis on processes not results (e.g. competencies and skill based systems).

This may provide scope for further study to see what type of an approach is used in the PMDS for office-based educators and whether this approach is suitable to ensure that the performance of office-based staff are aligned to the strategic objectives of the Department of Education in the North West Province.

It is important to note that the roles of the supervisor in the educational context are generally not well defined (Oliva & Pawlas, 2004:4). Although the Performance Management and Development Scheme policy, Collective Agreement (3 of 2002) provides various sections from which the roles of the supervisor can be deducted there is no particular section that is dedicated specifically to clearly define the roles of a supervisor in the performance management of the office-based staff.

5.3.2 Perceptions on the skills and attributes that a supervisor need to perform their roles in implementing the Performance Management and Development Scheme successfully

The majority of supervisors and staff members identified the skills and attributes that a supervisor should possess in order to effectively manage the performance of office-based educators as follows:

Management and leadership skills: These include skills in planning, organising, controlling and leadership abilities such as being a visionary leader and possessing conceptual and analytical skills. The aspect of good management and leadership skills correlates with the findings in literature as indicated by English (2001:177) when he stated that in order to ensure optimised performance human motivation, good management and leadership skills are needed. English (2001:12) also identifies process thinking skills as part of the management skills needed by a supervisor when he indicates that process thinking is about having a clear understanding of what the expected outcomes of the job are and knowing who relies on whom to get the job done.

Communication skills: Almost all participants mentioned communication skills and the overwhelming majority referred to listening skills specifically as the area of importance under communication skills. This skill is in line with the findings from the literature that indicate the importance of communication as a skill for supervisors to have (Leithwood & Beatty, 2008; Mann, 2002; Jones, Jenkin & Lord, 2006; Forsyth, 2004).

Conflict management skills: A large number of both supervisor and staff members identified dispute resolution or conflict management skills as important. This skill is associated with those of negotiation and tact as mentioned by interviewee 1 when saying: *“So a supervisor I think will need to have good negotiation skills so that he/she maybe negotiate with the supervisees to reach consensus because it’s all about consensus to say it’s not a three or it’s not a two but a three and so on”* and interviewee 2 when exclaiming: *“You have to have tact on how you are going to convince them to change their scores from the higher scores that they’ve given them”*. This is

supported by the findings from Hunt (2005:82) where the skills of negotiation and bargaining are highlighted as skills necessary to come to amicable agreements and “*win-win*” situations to overcome any conflict situations that may arise.

Skill of fostering good interpersonal relations: This skill was more emphasised by staff members than by the supervisors. The reason for this is not clear, but it may be why both parties mentioned conflict resolution skills as another important skill for the supervisor to possess. The importance of this supervisory skill is emphasised by Glickman, Gordon and Ross-Gordon (2001:125-133) where they identify a host of purposeful behaviour categories such as listening, clarifying, negotiating, directing, standardising, problem solving, encouraging and clarifying that a supervisor can use to foster good interpersonal relations with staff members. It seems that there are various approaches that a supervisor can use to foster healthy interpersonal relations such as the non-directive approach, the collaborative approach, the directive informational interpersonal approach and the directive control interpersonal approach (Glickman et al, 2001:127-128). The approaches differ in terms of the levels of control over decisions taken as assigned to the staff member and the levels of control assumed by the supervisor. The best approach seems to depend on the context within which the decision should be taken and the relationship between the staff members and the supervisor.

Time management skill: The skill of time management was mentioned only by a few staff members. It is surprising that this skill was not highlighted by the supervisors interviewed as many (four out of five) of them mentioned time constraints as a challenge. The literature perused was silent on this skill as one desired for a supervisor to possess when managing the performance of staff. It was also highlighted as one of the main challenges in the implementation of the performance management of staff (Hunt, 2005 and Simmons-Welburn & McNeil, 2004).

Skill of delegation: This skill was mentioned only by a small minority of both supervisors and staff members. It is interesting that in the upward feedback forms perused some sections

indicated that the provision of resources and the way in which tasks are delegated should provide for equal exposure for growth opportunities of staff members. This can be weighed against the comment by interviewee 3 when saying: *“Delegation also is a very crucial thing. Some people you delegate, you don’t delegate. There are principles also of delegate. You won’t delegate a task to a person who won’t do the task. Otherwise, I still remain accountable for the task and then if they don’t do it or they elongate actually the period and then it won’t actually be done. That’s why we tend to delegate also to people who will perform also the task and in that way we find ourselves over-ruling them unfortunately that is what happens in any organisation”*. This indicates that tasks may not be delegated to some staff members because the supervisor cannot be sure that it will be performed within the required time-frames and according to the expected standards. That is possibly why section 1 commented: *“Take action against non-performance and enforce meeting of time-frames”* as a recommendation next to the criterion of delegation on the upward feedback form. This is another skill that has not clearly emerged from the literature that was perused.

Being knowledgeable about the policy: Only a few participants, from both the supervisors interviewed and the participants that completed the open-ended questionnaires, identified this ability as important. Although the literature examined did not mention anything about this attribute the words of supervisee 1 emphasised the importance of this attribute by making the following comment:

What I assume is that supervisors will be knowledgeable about the policy of the scheme. If from time to time you keep on referring maybe to the policy requirements and then they can see that it is not punitive but you need to look at the performance indicators to say but what is your performance relating this key objectives or this capability if it’s the plan and then if you are knowledgeable about dispute resolution or what needs to be done in case one is not satisfied to keep on emphasising to say but let’s try as much as possible to resolve it within ourselves to agree- I think it makes maybe the process better yes better managed.

Being self motivated: This aspect was mentioned by a very few of the participants. Staff member 7 referred to a self-driven individual by indicating that the supervisor should be *“orientated towards growing the organization and the individual”*. The literature review indicated the aspect of emotional intelligence in this regard. As Heystek, Nieman, Van Rooyen, Mosoge and Bipath (2008:76-77) indicate that emotional intelligence refers to a positive, self-motivated and optimistic individual.

These identified skills and attributes are in line with the five criteria stipulated on the upward feedback forms that indicate communication, delegation, leadership/teamwork, planning and concern/respect for staff as the criteria against which staff members should provide feedback to the supervisor.

The attributes of objectivity, honesty and sincerity emerged from the literature study (Heystek, Roos & Middlewood, 2005; Robbins & DeCenzo, 2007) as important attributes when engaging in performance management processes. Only a very small minority of staff members referred to honesty as a desirable attribute for the supervisor to display. This may be an indication that staff members do not view honesty as an essential element in the performance management process and that they do not mind if it is compromised as long as they get good performance ratings. This may be the reason why supervisor 3 indicated: *“That’s one area where your subordinates are actually trying to bribe you as a supervisor to give them good marks, you know and they will always write good things about you. I have never had a situation where a person is brutally honest you know with me”* when asked about his thoughts on upward feedback.

5.3.3 Perceived challenges facing the supervisor in implementing their roles in the Performance Management and Development Scheme for office-based educators

Many challenges have already been highlighted during the discussion of the roles, skills and attributes linked to the supervisor in managing the performance of the office-based educators. The following list can be compiled after analysing and interpreting the findings from the study:

Time constraints and lack of proper planning

This is highlighted by most supervisors and many staff members as an area of concern that greatly hampers supervisors in fulfilling their roles in the successful implementation of the Performance Management and Development Scheme for office-based educators in the North West Province. A statement such as: *“Mm, well there is never enough time (repeats the statement)”* (Interviewee 3) creates the impression that there are too many activities and demands made on a daily basis. This idea is strengthened by the responses from some of the staff members when they indicated *“work load”* (Staff member 1) and *“colleagues are always on the road/ out of the office”* (Staff member 8). The findings from literature review support this idea. Hunt (2005:2) explains that supervisors and staff alike view the performance management as a waste of time, resources and energy as they deem it to be a fruitless exercise. The challenge may be that supervisors view the management of performance as an add-on function instead of an integral part of their daily work. Interviewee 5 put it this way: *“So they don’t have skills, the know how, they don’t have the understanding on how this system can be integrated into their day to day duties and responsibilities (pause) and as such this becomes cumbersome for some people because of pressure at the end of the cycle. They do it just for the sake of doing it not for making sure people are performing according to the set standards, people are contributing meaningfully to the performance measures as laid down in terms of strategic planning and as such Performance Management and Development Scheme is not seen as a responsibility as a core function for supervisors, but as an add on”*. It appears like this challenge may be linked to another challenge highlighted by some of the participants in the study which is lack of proper planning. One suggestion that was put forth is the development of a performance management schedule to direct in the planning of the Performance Management and Development Scheme processes. Interviewee 4 expressed this view by indicating: *“As the supervisor I think the most important thing that we should do is planning. So as much as we plan for our daily work we should plan for the PMDS. Right and then the planning would involve I think it will several things such as we should convene a meeting on PMDS (repeats the words “convene a meeting”) and then in that meeting we should throw a schedule that has clear timeframes right”*. The problem may be that other unplanned activities may disrupt even the scheduled plans as was indicated by staff

member 1 when noting *“unplanned departmental activities”* and staff member 4 when stating: *“The slight challenge experienced is with regard to holding regular meetings which at times is affected by other more equally important meetings”*. It seems that training in time management skills may be of great help to the supervisor.

Negative attitudes

A concern was raised around the negative attitudes towards the Performance Management and Development Scheme that prevail. The reasons given by supervisors interviewed in the study included the fact that the development programmes offered to the staff members are not in line with the identified developmental needs, some staff feel that supervisors do not ensure confidentiality during the appraisal of staff performance, inadequate incentives and a general lack of interest in the Performance Management and Development Scheme. A small number of staff members agreed with this idea by raising the issue of development that is not effectively addressed. An interesting finding is derived from the comment by supervisee 4 when saying: *“Another challenge can be if the subordinate also don’t stick to your agreement because there’s literally nothing that you can do about that. You can just remind him on that. There’s no any other disciplinary action or whatever that you can. So it’s like if he’s not prepared he can leave it if he’s prepared he can do it. So then it’s like your hands are held but you should just encourage the person to do that”*. These findings are in line with the findings in the literature review (Hunt, 2005 and Hartle, Everall & Baker, 2001) that indicate that the performance management system cannot be successfully implemented if the supervisor and the staff members are not both committed to the process.

Disagreements about performance ratings and lack of proper training

Another challenge that makes the roles of the supervisor difficult to implement is the issue of performance ratings. The supervisors interviewed indicated various reasons that were placed under this category. These included the linkage of the performance appraisal to incentives, the failure to reach consensus on performance ratings, over scoring by staff members and the inability of some to measure the performance of staff accurately. Staff members on the other hand referred to the inability of supervisors to clarify the ‘extra mile’ effort which entitles the staff member to a higher performance rating (4) and the using of incidents instead of considering the overall performance when making judgments on the level of performance. It seems that supervisors are more concerned about staff members who argue for high scores because these are linked to incentives whereas staff members seem to feel that the supervisors are not judging their performance fairly. These challenges are captured by comments such as: *“I think it’s a matter of coming to a consensus, but the supervisees also need to be very reasonable. That its not you know just for monetary issues, monetary awards, incentives but it’s about performance and nothing else”* (Interviewee 1) and *“one thing that I would tell you, they still don’t understand or maybe they seem not to understand the rating three and the rating five. Because they feel that as much as they’re performing their duty they can rate themselves five. Only to find that if they do what is within the job description it’s a three and then if they do an extra mile it’s then that you consider a four and a five”* (Interviewee 3). These findings corroborates with the findings from the literature review where Heystek et al (2005:113) allude to the fact that supervisors are under pressure to award higher scores due to the linkage of the scores to incentives. It also seems that the supervisors give higher scores because they fear that staff will be unhappy if they do not (Robbins & deCenzo, 2007:345). Thus, the Performance Management and Development Scheme performance rating becomes a mere paper exercise as it does not reflect the actual performance of staff (Hunt, 2005:5). This results in subjectivity during the performance measurement process (Heystek et al, 2005 & DeCenzo, 2007). It seems that supervisors find it difficult to differentiate between high and low performers. This apparent inability of some supervisors to rate performance fairly may be indicative of the fact that supervisors are not adequately trained in performance management issues such as gathering performance data. Findings from literature

confirm that a supervisor needs training on performance management which is a skill in itself (Elizabeth & Pope, 2004: 109) and that they should further be skilled in keeping record of critical incidents (Foskett & Lamby, 2003: 113) as well as guidance on how to compile a portfolio of evidence (Heystek et al, 2005:118).

Operational requirements

This challenge was raised by supervisors when indicating that the use of the matrix system where all work sections within a Chief Directorate combine human and physical resources to work on a project may compromise the achievement of performance goals set by individual sections. Another concern was that different performance systems are used to manage the performance of staff that often report to the same supervisor. This causes a challenge for the supervisor when attempting to achieve the same goals using different performance instruments. The appointment of a supervisor well into the Performance Management and Development Scheme cycle also poses a challenge as the supervisor struggles to measure the performance of staff that they only interact with towards the end of the cycle. This challenge was further elaborated on by staff members that referred to unplanned activities as hampering progress with regard to performance management processes.

5.3.4 Training needs identified to assist the supervisors in implementing their roles in the Performance Management and Development Scheme for office-based educators

Findings from the open-ended questionnaires indicated that different supervisors have different skills and abilities and therefore the training needs may differ from one to another. It was also discovered that the PMDS policy does not stipulate what type of training is needed for supervisors to adequately perform their roles in the implementation of the PMDS. It is clear from the literature study that there is a need for the training of supervisors and that this area has

greatly been neglected. From all the findings mentioned in this study one can identify the following areas of training for the supervisor of the PMDS for office-based educators:

- Performance planning;
- communication skills (listening in particular);
- conflict management;
- time management; an
- motivation of staff

Performance management which should (generally) include aspects such as recording critical incidents and guidelines on how to develop a portfolio of evidence, how to identify high and low performers and how to deal with poor performance.

5.4 CONCLUSIONS

Following is a presentation of the conclusions drawn from each of the main findings of the study.

The first major finding of this study that there is consensus among supervisors and staff members on the main roles of the supervisor in the effective implementation of the Performance Management and Development Scheme for office-based educators but that supervisors emphasise the roles that has to do with the outcomes of the Performance Management and Development Scheme processes and staff members emphasise the roles that pertains to the Performance Management and Development Scheme processes. From this finding it can be concluded that supervisors and staff members have a different understanding of the roles of the supervisor and its importance in the effective implementation of the Performance Management and Development Scheme for office-based educators. A second conclusion that is related to this finding is that the Performance Management and Development Scheme policy identifies the roles of the supervisor but it is not emphasised and roles are not clearly defined. Without the necessary

emphasis and clarity on the roles of the supervisor there will always be a difference of opinion between the supervisor and staff members on what these roles entail.

The second major finding is that there are various skills and attributes that a supervisor needs in order to perform the roles expected of him/her in managing the performance of office-based staff and different supervisors possess different skills and attributes needed in the Performance Management and Development Scheme processes. One can conclude that without the necessary skills and attributes the supervisor cannot effectively implement the Performance Management and Development Scheme for office-based staff. It is one determinant for the supervisor to know what is expected from him/her but it is quite another to deliver on those expectations. A supervisor must receive the necessary guidance and support on how to implement the roles identified more efficiently and more effectively.

The third major finding is that the main challenges hampering the supervisors from performing their roles in the Performance Management and Development Scheme is that of time constraints, lack of proper planning, negative attitudes, disagreements about performance ratings, lack of proper training in Performance Management and Development Scheme processes and operational requirements. The conclusion drawn from this finding is that many of these challenges can be addressed through proper planning, training and skilling of the supervisor in terms of the roles that they have to perform in the performance management of their staff. The challenges identified can greatly be reduced if the supervisor is skilled and trained to deal effectively with it. Effective planning of the Performance Management and Development Scheme processes entail including it as part of the daily activities and this can ensure challenges such as time constraints, negative attitudes and disagreements are minimized.

The fourth and last major finding of the study is that the training of supervisors in performance management has been greatly neglected and the training needs will differ from supervisor to supervisor. The conclusion related to this finding is that supervisors need to receive relevant training in order to effectively manage the performance of office-based educators. Without

proper training supervisors cannot be expected to effectively implement the Performance Management and Development Scheme policy for office-based educators.

5.5 RECOMMENDATIONS

The following recommendations are made based on the findings and conclusions drawn from this study:

Recommendation 1: Policy makers should consider revising the Performance Management and Development Scheme policy for office-based educators to include a specific section on the identification and unpacking of roles of the supervisor in the implementation of the PMDS policy and the skills and attributes required to perform those roles

It has emerged from this study that supervisors and staff members agree broadly on what the roles of a supervisor are in the performance management of office-based educators. However, they view these roles differently and do not place the same emphasis on each of the roles. It becomes important therefore for supervisors and staff members to have a clear understanding of what the roles entail and what is expected within each of these roles. This type of role clarification will greatly assist in the effective implementation of the Performance Management and Development Scheme policy for office-based educators. The identification of accompanying skills and attributes that is deemed necessary for the successful implementation of these roles will assist a supervisor to conduct a self evaluation and identify areas that he/she may need development in.

Recommendation 2: The Human Resource Development Directorate and Performance Management and Development Scheme policy implementers should ensure that supervisors are provided with special training to equip them with the skills necessary for the roles they have to perform in the effective implementation of the Performance Management and Development Scheme

The findings from the study clearly revealed that the area of providing specialised training for the supervisor to effectively implement the Performance Management and Development Scheme policy has received little attention. It has also come to light that if the supervisor is to implement the Performance Management and Development Scheme for office-based educators more effectively training should be provided on areas such as performance management (generally), Collective Agreement 3 of 2002 (specifically on the roles of the supervisor), time management, conflict management, effective communication and how to motivate staff towards improved performance.

The North West Department of Education through the Human Resource Development Directorate should include all these training needs, except the one on Collective Agreement 3 of 2002 as part of the Workplace Skills Plan (WSP) of the province and ensure that the training is budgeted for and that it takes place as expected. Quality Assurance officials responsible for the training office-based staff on the Performance Management and Development Scheme policy should provide special training to the supervisors on the roles of the supervisor in the successful implementation of the Performance Management and Development Scheme.

Recommendation 3: Supervisors should ensure that the Performance Management and Development Scheme is integrated into their daily activities

It has been established in this study that supervisors view the Performance Management and Development Scheme as an add-on function instead of seeing it as an integral part of their daily duties. The supervisor should realise that the performance management of office-based educators forms part of their daily management activities and as such should be treated as a core function. PMDS activities should be scheduled as part of their activity plans to ensure that the process gets the attention it deserves. Such scheduling should include all the Performance Management and Development Scheme processes and time frames within which these processes should take place. Ultimately this will ensure that supervisors perform the roles identified for them to successfully

implement the Performance Management and Development Scheme policy for office-based educators.

5.6 SUGGESTIONS FOR FURTHER RESEARCH

Based on the limitations of this study because of the small sample size the same study should be conducted with a large sample of supervisors and staff members to determine the extend to which the same findings will be made.

A similar study should be done to identify the roles of the staff members, second level supervisors and senior managers in the successful implementation of the Performance Management and Development Scheme for office-based educators.

A comparative study of different approaches to performance management systems should be undertaken to identify the best approach in the performance management of office-based educators in order to improve their performance in such a way that the strategic objectives of the department of Education is achieved.

The question around the delinking of performance management from incentives and rewards needs further investigation. This emerged as one of the main challenges facing the supervisor in the effective implementation of the Performance Management and Development Scheme for office-based educators. It therefore becomes important to investigate whether there is a need to delink performance measurement for incentives and rewards and performance management for developmental purposes.

Another area for investigation that can be identified through this study is the question of whether the training provided by the Department of Education in the North West Province is based on the identified developmental needs of the office-based educators. As a lot of money is spent on training interventions it becomes important to investigate whether the training provided adds any value in improving the performance of staff members and whether the training impacts positively on the achievement of the goals of the Department of Education in the province.

5.7 CONCLUDING REMARKS

The main aim of any performance management system is to bring about improvement in performance. First level supervisors are directly responsible and accountable for the performance of their staff members. As such they have key roles to perform to ensure that staff performs optimally and that the objectives of the Department of Education are achieved. The Performance Management and Development Scheme for office-based educators is the vehicle that can be used to inspire staff to perform at the desired level. The challenges that exist and have been identified as barriers that hamper the supervisor from performing his/her roles adequately should be addressed through training interventions and other management and developmental processes. It is hoped that the key findings and recommendations made in this study will serve to influence policy makers when reviewing the Performance Management and Development Scheme policy to consider the roles of the supervisor and the challenges experienced by them carefully and that these will be taken into account in the reviews. It is also the wish of the researcher that the recommendations made in terms of training interventions to develop and enhance the skills needed by the supervisor in the implementation of the Performance Management and Development Scheme for office-based educators will be considered when training programmes are developed by the Department of Education in the North West Province.

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ANNEXURE A: INTERVIEW SCHEDULE

Questions:

1. Kindly describe your experience of the implementation of the PMDS (Collective Agreement 2 of 2003) thus far.
2. What do you think are the most important roles that you as a supervisor should play in managing the PMDS process? (Possible probing question: How would you respond if someone said that the successful implementation of the PMDS policy depends on how you perform these roles?)
3. What are the challenges that you feel prevent you from fulfilling the roles you have mentioned? (Possible probing question: What can be done about these challenges?)
4. If you had to make a list of skills that supervisors can be trained on to assist them in managing the performance of office-based educators better, what would you include in that list? (Possible probing question: what makes you feel that the mentioned skill is important?)
5. What is your opinion about the aspect of upward feedback in the PMDS? (Possible probing questions: Is it fair? Has it assisted you in any way? What are some of the feedback that you have received and how did it make you feel?)

ANNEXURE B: INTERVIEW PROTOCOL

Interviewee code:

Topic: The roles of supervisors in the performance management of office-based educators

Date of interview:

Time:

Venue:

Interviewee:

Position of interviewee:

Gender:

Date of appointment in the current post:

Name of interviewer:

[Explain: (a)The purpose of the study, (b) participants selected, (c) data collection methods, (d) how the data will be used, (e) confidentiality of the interview, (f) how long it will last].

[The employee should read and sign the consent form]

[Tape recorder is turned on and tested]

Questions:

6. Kindly describe your experience of the implementation of the PMDS (Collective Agreement 2 of 2003) thus far.

7. What do you think are the most important roles that you as a supervisor should play in managing the PMDS process? (Possible probing question: How would you respond if someone said that the successful implementation of the PMDS policy depends on how you perform these roles?)
-
-
-
-
8. What are the challenges that you feel prevent you from fulfilling the roles you have mentioned? (Possible probing question: What can be done about these challenges?)
-
-
-
-
9. If you had to make a list of skills that supervisors can be trained on to assist them in managing the performance of office-based educators better, what would you include in that list? (Possible probing question: what makes you feel that the mentioned skill is important?)
-
-
-
-
10. What is your opinion about the aspect of upward feedback in the PMDS? (Possible probing questions: Is it fair? Has it assisted you in any way? What sort of feedback have you received and how did it make you feel?)
-
-
-
-

[Thank the participant for their cooperation and time set aside for the interview. Assure them of the confidentiality of the responses and indicate that the findings will be run by them for validation]

ANNEXURE C: OPEN-ENDED QUESTIONNAIRE

QUESTIONNAIRE NO.

--	--	--

SECTION A

BIOGRAPHICAL DATA

Kindly answer the following questions by placing a cross (x) in the appropriate block.

1. AGE

1.1	Below 30	
1.2	30 – 35	
1.3	36 –40	
1.4	41 – 45	
1.5	46 –50	
1.6	51 and above	

2. GENDER

2.1	Male	
2.2	Female	

3. CHIEF DIRECTORATE

3.1	Quality Assurance	
3.2	G&FET Services	
3.3	Auxiliary Services	
3.4	AETS	
3.5	Human Resource	

4. POSITION HELD IN THE OFFICE

4.1	Chief Education Specialist	
4.2	Deputy Chief Education Specialist	
4.3	Senior Education Specialist	
4.4	Other (Specify) _____	

5. HOW LONG HAVE YOU BEEN IN THAT POSITION

5.1	3 years	
5.2	4 – 5 years	
5.3	More than 5 years	

6. HOW LONG HAVE YOU BEEN UNDER THE SUPERVISION OF THE CURRENT SUPERVISOR

6.1	3 years	
6.2	4-5 years	
6.3	More than 5 years	

SECTION B

7. Please indicate your response to the following questions by answering it as honestly and as comprehensively as possible.

7.1 What in your opinion are the most important roles that a supervisor has to perform in managing the performance Management and Development System (PMDS) for office-based educators?

Comments.....

.....

7.2 List all the skills and attributes that immediate supervisors should have to successfully manage the roles that you have identified in 7.1

List:.....

.....

.....

7.3 Indicate which of these skills/attributes listed in 7.2 your immediate supervisor possesses and which he/she may need development on.

Comments:

7.3.1 My supervisor has the following skills/attributes necessary to successfully implement the PMDS for office-based educators:

.....

.....

7.3.2 My supervisor needs training in the following skills/ attributes that are necessary to successfully implement the PMDS for office-based educators

.....

.....

.....

7.4 The following challenges make it difficult for the PMDS to be successfully implemented by my supervisor

Comments.....

.....

.....

Thank you for the time and effort taken to participate in this study.

It is highly appreciated.

ANNEXURE D

Consent Form

You are requested to participate in a study to investigate the roles of the supervisor in the performance management of office-based educators in the North West Province.

The purpose of the study is to learn what your views and experiences are in terms of the roles of the immediate supervisor in the performance management and development system (PMDS) for office-based educators.

If you agree to participate in this study and you will either participate in a one-on-one interview (supervisors) or complete a questionnaire (Staff members) designed to gather information about the topic. Both the interview and the completion of the questionnaire should not take longer than 30 minutes each.

You will not incur any cost in the participation of this study and there is no risk to you in participating in this study.

Your participation is purely voluntary and you may withdraw from participating in the study at any point without any prejudice.

You are guaranteed of anonymity in the research report where pseudonyms will be used to refer to all participants. The information supplied will be treated as confidential.

AUTHORISATION:

I have read the above and understand the nature of the study. I agree to participate in the study and authorize the researcher to use the information gathered in his research report provided that I remain anonymous and a pseudonym is used to refer to me. I also understand that my participation is voluntary and that I may withdraw from the study at any point.

Participant's Signature: _____

Date: _____

Researcher's Signature: _____

Date: _____

ANNEXURE E



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
MAFIKENG CAMPUS

Faculty of Education

School of Postgraduate Studies

28 June 2011

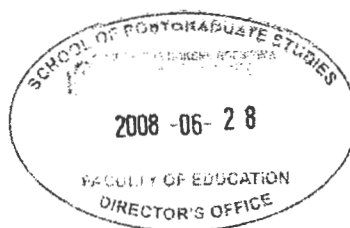
TO WHOM IT MAY CONCERN

This is to certify that **Mr R Lucas (Student No. 17025524)** is our MEd student in Educational Management at the NWU Mafikeng Campus.

Mr Lucas needs to collect data for his research from the Corporate Centre of the Education Department of the North West Province.

I therefore request that he be given the necessary assistance in this regard.


PP **PROF JR DEBEILA**
DIRECTOR: SCHOOL OF POSTGRADUATE STUDIES





education

Lefapha la Thuto
Onderwys Departement
Department of Education
NORTH WEST PROVINCE

Garona Building,
First Floor,
Private Bag X2044
Mmabatho 2735
Tel.: (018) 387-3411
Fax: (018) 388-1751
e-mail: mphoentle@nwp.gov.za

**OFFICE OF THE CHIEF OPERATIONS OFFICER:
BRANCH: DISTRICT AND PROFESSIONAL OPERATIONAL SERVICES**

Enquiries: Ms M.J. Mogotsi
Telephone: 018-3883411 Fax 018 387 4097
E-mail: mphoentle@nwp.gov.za

28 June 2011

To: Mr R. Lucas
Med Student: Educational Management
North West University: Mafikeng Campus

From: Dr M.A. Seakamela
Chief Operations Officer
Branch: Districts & Professional Services

**SUBJECT: PERMISSION TO CONDUCT RESEARCH WITHIN CORPORATE
CENTRE**

Please be informed that permission has been granted for you to conduct research in the Corporate Centre of the North West Department of Education. Approval is therefore granted under the following conditions:

- That consultation with the identified officials is done
- That any publication of information pertaining to the Department should be done with the permission from the department
- That service delivery is not compromised
- That the department be furnished with the outcomes of the research

Thanking you in advance

Dr M.A. Seakamela
Chief Operations Officer
District and Professional Operations Services



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
MAFIKENG CAMPUS

CERTIFICATE OF LANGUAGE EDITING

The mini-dissertation entitled

**THE ROLES OF THE SUPERVISOR IN THE PERFORMANCE MANAGEMENT OF OFFICE-BASED
EDUCATORS IN THE NORTH WEST PROVINCE**

Submitted by

RAFIQUE LUCAS

For the degree

MASTER OF EDUCATION

In the

SCHOOL OF POSTGRADUATE STUDIES

FACULTY OF EDUCATION

NORTH-WEST UNIVERSITY

MAFIKENG CAMPUS

Has been edited for language by

DR. NELDA PRETORIUS, MA, PhD (ENGLISH), [NWU]

A handwritten signature in black ink, appearing to read 'N. Pretorius', followed by the date '24/10/11'.

DR NELDA PRETORIUS

NWU (MAFIKENG CAMPUS)