

**CAPE PENINSULA UNIVERSITY OF TECHNOLOGY (CPUT)**

**FACULTY OF MANAGEMENT**

**A CRITICAL EVALUATION OF THE EFFECTIVENESS OF  
PERFORMANCE APPRAISAL IN THE WESTERN CAPE  
PROVINCIAL TREASURY (WCPT)**

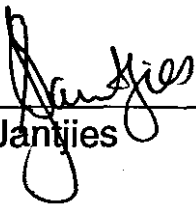
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## DECLARATION

I, Stephan Omar Jantjies, hereby declare that this study project is my own original work and that all sources have been accurately reported and acknowledge, and that this document has not previously been submitted in its entirety or in part at any educational establishment.

  
\_\_\_\_\_  
S.O Jantjies

26 FEB 2007  
\_\_\_\_\_  
Date

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## **CHAPTER 1**

### **INTRODUCTION AND BACKGROUND TO THE STUDY**

#### **1.1 INTRODUCTION AND BACKGROUND TO THE STUDY**

The Constitution of the Republic of South Africa, Act 108 of 1996, instructs the Public Service Commission (PSC) to propose measures to ensure effective and efficient performance in the public service, which includes National and Provincial Departments (1996:108).

Various view points on this issue have been expressed why even some hard working staff members of the Western Cape Provincial Treasury (WCPT) are found to be surprised and disappointed over the performance management process especially, when their hard work throughout the year goes unnoticed or are under-rated by their superiors.

The bias scoring by certain performance evaluators also causes plenty of animosity, hostility and resentment among colleagues because “friendly” staff is prejudiced ahead of other staff.

The Public Service Act 103 of 1994 states that an executive authority has powers and duties regarding the performance management of officers and employees of that office or department (1994:14). “... a head of department shall be responsible for the efficient management and administration of his or her department, including the effective utilisation and training of staff...” .

As in most Government sectors globally, the Western Cape Provincial Government also has its own process of evaluating the performance of its staff. The Public Finance Management Act 1 of 1999 states that it is the responsibility of the Accounting Officer of a Department for the effective, efficient, economical and transparent use of resources.

Departments within the Western Cape Provincial Government have their own system of evaluating the performance of their staff.

The Western Cape Provincial Treasury's policy of managing the performance of its personnel are set out in the Provincial Treasury's Staff Performance Management System (SPMS)

([http://www.intrawc.gov.za/pt/treasury\\_units/performance\\_management](http://www.intrawc.gov.za/pt/treasury_units/performance_management)).

## **1.2 PROBLEM STATEMENT**

The management of the WCPT has a difficult task to manage and allay the low morale of personnel members, which have been negatively affected by the perceived bias and unfair system of performance appraisal applied by the Provincial Treasury (PT).

The performance measurement system applied by the PT is also seen by many staff members as 'human resource bureaucracies with forms, rules, and review layers' (Shaw *et al.* 1995:3).

The compensation or remuneration for excellent performance of duties during the evaluation period by personnel in the PT can take the form of a monetary or non-monetary reward. Certain members of PT are of the

opinion that the Performance Appraisal process is ineffective since it did not reflect the true effort contributed towards the Department. After several unsuccessful attempts to score 'excellent' points during the period under review, many staff members take on a negative attitude at work. The standard of work of dissatisfied personnel will subsequently show a drop and low moral amongst staff is, therefore, unavoidable.

### **1.3 RESEARCH OBJECTIVE**

The intention of this research is to visit the WCPT and determine by way of questionnaire, from all the personnel members their true and personal perception of the current performance appraisal system.

The aim is to ascertain whether there are any differences in the opinion with regard to the application of the performance appraisal system and to what extent it exists. The questionnaires were distributed to the participants and the responses collected for the data were analysed.

### **1.4 DELIMITATION OF THE RESEARCH**

The research was conducted at the Western Cape Provincial Treasury (WCPT), situated at 4 Dorp Street, Cape Town by way of a survey questionnaire and was aimed at all personnel on all levels of the organisational structure and were drawn from the total population of the WCPT personnel.

The Western Cape Provincial Treasury is one of the 14 departments of the Western Cape Provincial Government and is headed by a Minister and an Accounting Officer for the department.

## **1.5 RESEARCH DESIGN**

### **1.5.1 Literature search**

The research design comprises of a literature search consisting of examining various text which includes a study of relevant books, legislation, journals, newspapers, subordinate legislation, training manuals and publications to provide a clear understanding of the existing lines of thoughts of various individuals, groups, and institutions on the subject of Performance Appraisals.

#### **1.5.1.1 Normative criteria extracted from literature**

“Performance appraisal is the evaluation of a person’s performance once it is well defined. Accurate appraisals help supervisors fulfil their dual roles as evaluators and coaches. As coach, a supervisor is responsible for encouraging employee growth and development. As an evaluator, a supervisor is responsible for making judgments that influence employees’ roles in the organisation”(Nelson & Quick, 2003:195). They also continue to say that the major purposes of performance appraisals are to give employees feedback on performance, to identify the employee’s developmental needs, to make promotion and reward decisions and to develop information about the organizations selection and placement decisions.

The idea of performance measurement has been around for a number of years, but never has it had such an impact on the morale of staff than at the moment. According to King (1984:7), "Corporations often institute formal performance appraisal systems as a means of translating their overall goals through the organization to the managers and individual contributors who will do the work to achieve the corporation's goals".

Under normal circumstances, managers or supervisors are responsible for the management and evaluation of performance activities of the subordinates directly under their supervision (Rademan & Vos, 2001:55).

"Managers, inevitably and incessantly, evaluate their employees. Likewise, co-workers, legislators, and customers constantly judge the work of an employee. Reputations develop. Managers decide who to assign a given task, who to send to a training programme, and who to promote to another position. In large part, these decisions are based on conclusions about the quality of work completed by individual employees. Performance evaluation is integral to day-to-day administrative decisions and to long-range plans for reorganisation and change" (Dresang, 2002:171).

According to Smither (1998:25), the ideal appraisal system is especially sensitive to fairness. One aspect of this preoccupation focuses on the variety of legal issues that can create unwelcome entanglements for the organisation. He suggests that in addition to discrimination based on gender, race, national origin, age, disability, or other factors, there is widespread awareness and concern with issues such as negligence, defamation, misrepresentation, just cause, and progressive discipline.

“The process of involving employees and their managers in designing the performance appraisal instrument inculcates a sense of ownership and assures a high degree of sustainability. Properly used, performance management is a strategic, integrating factor in reward and human resources development” (Agere & Jorm, 2000:66).

Judy van der Merwe writes in *Performance appraisals and what they mean to me?* that:

“In a world of multi-cultures reflected in today’s workplace, it is important to have performance appraisals that are transparent, fair and allow for open discussion leading to joint assessments. Traditional methods of having a Senior Executive/Manager appraising a staff member with rating scales of 1-5 or 10 are not appropriate in the ‘new world of work’. No longer should there be an autocratic appraisal system but rather a cooperative, consensus building approach to the management of performance” (Van der Merwe, 2001: 11-12).

“Performance appraisal, properly used, is one of the most powerful supervisory tools available. The fact that it is not meeting its potential in many organisations is no secret, particularly to those in the middle- and first-line supervision who have the greatest responsibility for its effective use” (Morrisey, 1983:34).

To manage the human resources in an organisation successfully there should be an effective appraisal of personnel performance. Differences in perceptions between managers/supervisors and subordinates with regard to this process can possibly indicate that management/supervisors view the process as successful, while subordinates regard the process as

negatively. The effectiveness of performance appraisal in the organisation is thereby influenced negatively. It is in this area that this study can contribute to enable management to ensure a more effective performance appraisal system (Le Roux, 1998:8).

According to Cloete (1982:122), the basic requirement in personnel administration is for every staff member to be utilised and applied to the best of his or her abilities. To achieve this, there should be continuous job evaluations of the individual personnel members to measure their effectiveness and efficiency.

Erasmus *et al.* (2005:268-269) says that the essential components of a performance appraisal may be amplified as follows:

- Identification: Determining the performance dimensions to be examined;
- Observation: Observing all appraisal aspects sufficiently for accurate and fair judgements to be made;
- Measurement: Translating the public sector appraiser's observations into value judgements about the ratee's performance;
- Recording: Documenting the outcomes of the performance appraisal process; and
- Development: Focusing on the future and improvement of the individual performance.

## **1.5.2 Empirical Survey**

An empirical survey was conducted of all the members at the WCPT of approximately 237 employees in the form of a self-administered questionnaire consisting of dependent and independent variables, structured in a quantitative research approach representing a closed format and predetermined in collaboration with a registered statistician.

### **1.5.2.1 Research approach**

After considering various research approaches by which the researcher aims to investigate the problem statement stated in chapter 1.2, the questionnaire approach structured in a quantitative research approach was decided upon.

### **1.5.2.2 Description of the research population**

The population from which the participants were obtained were all the employees of the WCPT of 237 employees. The target research population for the survey, those employees to whom questionnaires were distributed, were decided on as 200 individuals.

The final Response Population figure determined by the number of returned completed questionnaires was 134, representing 67% of the target research population of 200.

The theory of questionnaire design will be explained in more detail as well as basic concepts pertaining to the researcher's attitude towards the research, such as the element of bias.

### **1.5.3 Statistical Analysis**

Appropriate response percentages were determined in collaboration with a registered statistician by determining relative values from the empirical data and transferring such values in a codified form to a computer database. The analysed data will then be interpreted by utilising selected statistical methods and analytical instruments.

A quantitative survey approach was undertaken to obtain appropriate data for further investigating.

### **1.5.4 Interpretation of findings**

After receiving the statistical analysis of the empirical data from the registered statistician, the results were interpreted meaningfully by the researcher and the findings in terms of the various analytical instruments were expressed and described by way of tables, charts and figures, followed by a brief textual explanation of each analysis: ..

## **1.6 CLARIFICATION OF CONCEPTS**

**DPSA – Department: Public Service and Administration**

**Employee – Any person employed in terms of the Public Service Act, 1994**

**EPMDS – Employee Performance Management and Development System**

**HRM – Human Resource Management**

**IDP – Individual Development Plan**

**IPDP – Individual Performance and Development Plan**

**Performance Appraisal – Process of evaluating people's duties**

**PERSAL – Personnel and Salary Administration System**

**PMES – Performance Management Evaluation System**

**PSC – The Public Service Council of South Africa**

**PSR – Public Service Regulations**

**PT – Provincial Treasury**

**RSA – Republic of South Africa**

**SMS member – Senior Management Service member**

**SPMS – Staff Performance Management System**

**Sub-ordinate – A person functioning under the supervisor.**

**Supervisor – A person functioning as a manager.**

**The Act – The Public Finance Management Act of 1998**

**WCPT – Western Cape Provincial Treasury**

## **1.7 SUMMARY**

This chapter primarily provides an introduction to the research topic as well as a statement to the research problem. The delimitation of the research is stated after a brief statement on the aims, objectives and goals are included under the research objective heading in chapter 1.3. An overview of the research methodology, which was followed during the research, is provided.

The next chapter, which is the first chapter of the literature search, explains a regulatory framework for performance appraisal.

## **CHAPTER 2**

### **A REGULATORY FRAMEWORK FOR PERFORMANCE APPRAISAL IN THE WESTERN CAPE PROVINCIAL TREASURY (WCPT)**

#### **2.1 INTRODUCTION**

This chapter describes the regulatory and legislative policy framework within which the performance of personnel at the Western Cape Provincial Treasury is managed. Since 1996 the provisions of the New Constitution, Act 108 of 1996, has resulted in the enactment of several other interrelated Acts in Parliament that created the framework for performance management in the public sector.

#### **2.2 LEGISLATION**

Since the beginning of the new political dispensation in South Africa, new legislation has been passed in Parliament with regard to the rights and benefits of workers. The Department: Public Service and Administration (DPSA) plays an essential task in the organisation and administration of the public service.

All government departments including the Western Cape Provincial Treasury, as part of the public service and mandated by the policies and directives of the Department: Public Service and Administration must adhere and comply with the following government legislation:

### **2.2.1 The Constitution of the Republic South Africa, Act 108 of 1996**

The Constitution is the supreme law of the country. Any law or conduct inconsistent with the provisions of this Act is invalid and the obligations imposed by it must be fulfilled. The state is legally obligated to respect, protect, promote and fulfil the rights of the citizens of the country in terms of the Bill of Rights enshrined in the Constitution. Chapter 10 of the Constitution lays down the basic values and principles governing public administration in South Africa and include the following principles:

- (a) A high standard of professional ethics must be promoted and maintained.
- (b) Efficient, economic and effective use of resources must be promoted.
- (c) Public administration must be development-orientated.
- (d) Services must be provided impartially, fairly, equitably and without bias.
- (e) People's needs must be responded to, and the public must be encouraged to participate in policy-making.
- (f) Public administration must be accountable.
- (g) Transparency must be fostered by providing the public with timely, accessible and accurate information.
- (h) Good human-resource management and career-development practices, to maximise human potential, must be cultivated.
- (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation (1996:107).

The Western Cape Provincial Treasury as with other public institutions and entities is lawfully subjected to exercise their duties within the framework of the provisions of the Constitution of South Africa. All performance appraisals must meet the provisions (a) to (i) of chapter 10 of the Constitution.

## **2.2.2 The Public Service Act, Act 103 of 1994**

The Public Service Act, Act 103 of 1994 is enacted to provide the organisation and administration of the public service of the Republic of South Africa, the regulation of the conditions of employment, terms of office, discipline, retirement and discharge of members of the public service, and matters connected therewith. The public services are structured and functions in terms of national legislation. The Public Service Act, Act 103 of 1994 regulates the terms and conditions of employment in the public service and provides that an executive authority shall have those powers and duties regarding the performance management of employees for an office or department (1994:14). Chapter three of the Public Service Act [Section 7 (3) (b)] states, "... a head of department shall be responsible for the efficient management and administration of his or her department, including the effective utilisation and training of staff..." (1994:19).

The Public Service Act, Act 103 of 1994 lays down the legislative framework within which the public service can function and operate. It lays the foundation from where the Western Cape Provincial Treasury obtains the authority to manage the performance of personnel in terms of performance appraisals.

### 2.2.2.1 The Public Service Commission

The Public Service Commission (PSC) is an impartial body created by the Constitution, 1996, to enhance excellence in governance within the public service and aims to promote the constitutionally enshrined democratic principles and values by investigating, monitoring, communicating and reporting on public administration. Chapter 10 of the Constitution provide the mandate wherein the Public Service Commission, as an organ of the state, must perform its functions.

As a framework for public administration and as part of the Constitution, Section 196 (4)(c) lays down the functions of the Commission. The functions includes the:

- (i) promotion of the constitutionally prescribed values and principles governing public administration in the public service;
- (ii) the investigation, monitoring and evaluating the organisation and administration, and personnel practices, of the public services;
- (iii) propose measures to ensure effective and efficient performance within the public service;
- (iv) give directions aimed at ensuring that personnel procedures relating to recruitment, transfers, promotions and dismissals comply with the constitutionally prescribed values and principles;
- (v) report in respect of its activities and performance of its functions, including any finding it may make and directions and advice it may give, and to promote an evaluation of the extent to which the constitutionally prescribed values and principles are complied with; and
- (vi) either of its own accord or on receipt of any complaint – investigate, evaluate, monitor and report upon matters of public administration (1996:108).

The Public Service Commission regularly issues assessments of how departments are performing and provide feedback as to how to improve the public administration and performance.

#### **2.2.2.2 The Public Service Regulations of the Republic of South Africa of 2001**

The directives contained in the Public Service Regulations are made by the Minister of Public Service and Administration, which prescribes principles and measures about the way departments, must manage themselves. The Regulations are minimal, enabling departments to be innovative and responsive to service delivery needs.

The Public Service Regulations of 2001 apply to all persons employed by the public service of the country and lays down the principles to enable a head of department to head his or her department effectively and efficiently. Part VIII (A) of the Regulations states that all departments shall manage performance in a consultative, supportive and non-discriminatory manner in order to enhance organisational efficiency and effectiveness, accountability for the use for resources and the achievement of results. The performance management processes of the departments shall link to broad and consistent plans for staff development and align with its strategic goals. The primary objective for performance management is to be developmental and should minimise the administrative burden on supervisors while maintaining transparency and administrative justice (2001:33). The performances of Senior Management Service (SMS) members are managed in accordance with a performance agreement. The performance agreement shall be linked to the department's strategic goals and objectives as well as:

- (i) assisting a SMS member in defining his key responsibilities and priorities;
- (ii) encouraging improved communication between the SMS member and the person who he reports to;
- (iii) enabling the person who he reports to, to access the SMS member and providing appropriate support (PSR: 52).

The Western Cape Provincial Treasury aims to conduct performance appraisals in terms of the rules of the Public Service Regulations that are regularly issued to all public sector institutions in ensure effective and efficient use of resources.

### **2.2.3 The Labour Relations Act, Act 66 of 1995**

The Labour Relations Act, no. 66 of 1995 was enacted to give effect to Section 23 of the Constitution and seeks to govern the labour relations in the country by providing a framework to advance economic development, social justice, labour peace and the democratisation of the workplace. The Labour Relations Act, 1995 states in Schedule 8, that when an employee is considered for dismissal because of poor work performance, the employer is tasked to provide a performance evaluation of the employee as part of the dismissal process.

The Labour Relations Act, no. 66 of 1995 ensures that all employees of the Western Cape Provincial Treasury has the right to fair labour practices and that the employee were able to call on his or her trade union or representative should he or she feels that the performance appraisal process was unfair.

Representative labour trade unions are also included in the Performance Management process although it is only to a limited extent. To comply with the Labour Relations Act it is essential that the employer evaluate personnel effectively.

### **2.2.3.1 The Public Service Coordinating Bargaining Council (PSCBC) Resolution No. 13 of 1998**

The Labour Relations Act, no. 66 of 1995 provides for the creation of an overarching structure, the Public Service Coordinating Bargaining Council (PSCBC) that regulates and coordinates collective bargaining across the public service as a whole (Swanepoel *et al.*: 1998).

The Public Service Coordinating Bargaining Council Resolution No 13 of 1998 provides that senior managers in the public service must agree to individual performance agreements. Included in the performance agreement are: The Senior Managers' key duties and responsibilities;

- Output targets for the performance agreement period;
- Dates for performance review;
- Dispute resolution mechanisms and
- Effective dates of salary increments and mechanisms for the management and or awarding of salary increments. . .

The Public Service Coordinating Bargaining Council Resolution regulates the public sector by way of uniformed rules, norms and standards.

## **2.2.4 The Public Finance Management Act (PFMA), Act 1 of 1999**

The Public Finance Management Act (PFMA) of 1999 is a key element in a set of reforms in the management of government finances. If the objectives of this Act are to be achieved successfully, all stakeholders need to change their way of working. The Act also recognises the importance of sound information for good management practices and enabling the various stakeholders to execute their responsibilities. The PFMA regulates the national government and provincial governments, as well as ensuring that all revenue, assets and liabilities are managed effectively, and efficiently. Section 38(b) of the PFMA states that the Accounting Officer is responsible for the effective, efficient, economical and transparent use of the resources for a department (1999: 23).

To ensure compliance with the provisions set out in the Public Finance Management Act (PFMA), it is imperative that the resources of government, including personnel, are managed and evaluated effectively and efficiently.

### **2.2.4.1 The National Treasury Regulations (NTR) of 2002**

The National Treasury Regulations (NTR) are regulations or instructions that concerns general treasury matters and are issued in terms of section 76 of the PFMA, no. 1 of 1999. The Treasury Regulations are applicable to all departments, trading entities, constitutional institutions and public entities in South Africa.

The National Treasury Regulations proposes that the accounting officer of an institution must establish procedures for quarterly reporting to the

executive authority to facilitate effective performance monitoring, evaluation and corrective action (2002:15).

The Western Cape Provincial Treasury aims to perform its functions in terms of the rules of the National Treasury Regulations that are issued to all government departments in the country.

### **2.2.5 The Department: Public Service and Administration (DPSA) - Employee Performance Management and Development System (EPMDS)**

The Department Public Service and Administration (DPSA) have designed the Government Employee Performance Management and Development System (EPMDS) for use to assist with performance management in a department without a functioning performance management system for levels 1 – 12 (2005:8-11). Even though the EPMDS is not mandatory, the system is linked to the SMS Performance Management and Development System, of which key elements are prescribed for Senior Management Service (SMS) members; certain sections of the EPMDS are mandatory if this system is used. Important role-players in the performance management process in government departments are identified.

The EPMDS provides a standardised framework for employee performance in a department from the Head of Department, to SMS members, professionals, middle management and production staff. Performance agreements for all employees enable all departments, including the WCPT, to assign specific performance objectives and targets to its employees (2005:8-11).

## **2.2.6 The Staff Performance Management System (SPMS)**

The Staff Performance Management System (SPMS) are guidelines that are designed to provide a process for the implementation of the performance management process at the WCPT.

This system will allow those employees whose performance is average to only receive a normal pay progression, while commendable and outstanding performances by employees will receive their normal salary increase together with an additional incentive depending on the rating (2003:1). The SPMS document amongst other look at;

- Mandatory documents,
- Background and context communicated to the employees,
- Human Resource Management's and the supervisor's role,
- Establishment of moderating bodies, and Incentive awards (2003:1).

## **2.3 SUMMARY**

This chapter started with a short introduction to outline the regulatory and legislative policy framework within which performance appraisal at the Western Cape Provincial Treasury is managed. A detailed account are highlighted of the important provisions, guidelines and principals incorporated in various legislation, commissions, regulations and resolutions that control the management of performance in the public sector.

The next chapter, which is chapter 3, provides a theoretical approach to performance appraisal at the Western Cape Provincial Treasury.

## **CHAPTER 3**

### **A THEORETICAL APPROACH TO PERFORMANCE APPRAISAL WITH REFERENCE TO WESTERN CAPE PROVINCIAL TREASURY (WCPT)**

#### **3.1 INTRODUCTION**

The Western Cape Provincial Treasury (WCPT) is mandated by The Public Finance Management Act (PFMA), Act no.1 of 1999 and has as its Core business: the regulation of financial management in the National and Provincial Governments. The PFMA also ensures that all revenue, expenditure, assets and liabilities are managed efficiently and effectively *in all those governments. The provisions of the Act can only be achieved with the assistance of well-informed public managers with the necessary skills to perform their duties responsibly. It is one of the main priorities of the Directorate: Human Resource Management (HRM) at the WCPT to implement a Performance Management system or procedure whereby workers who perform well, gets the required acknowledgement or reward that they deserve (2003:1).*

#### **3.2 A THEORY FOR PUBLIC MANAGEMENT**

The public service has numerous responsibilities and has limited resources, which must be managed economically, efficiently and effectively.

Public management is only a part of public administration and care should be taken not to reduce public administration to public management. Fox *et al.* (1991) define public administration as “that system of structures and

processes, operating within a particular society as environment, with the objective of facilitating the formulation of appropriate governmental policy, and the effective execution of the formulated policy”.

Public administration according to Botes *et al.* (1992:300-301) should include, inter alia:

- policy making;
  - the policy making process are the systematic actions which should be taken to achieve the goals and objectives of the organisation.
- finance administration;
  - an organisation cannot function without funds and the funds has to be managed efficiently.
- planning;
  - planning is of crucial importance in public management and has a substantial effect on the efficiency in the public sector.
- organisation;
  - organising in the public service is intended to create relations concerning operational instructions, duties and responsibilities.
- control over administration;
  - control is the process of monitoring activities in order to determine whether individual units and the institution itself are obtaining and utilising their resources efficiently to accomplish their objectives [Fox *et al.*, (1991:118-119)].
- personnel administration.
  - the subject of personnel administration is, according to Botes *et al.* (1992:322) a complex and comprehensive one and comprises all the generic processes associated with personnel administration, namely: personnel policy, personnel financing, personnel organisation,

personnel procedures,  
personnel control, and  
personnel management.

The public management approach according to Botes *et al.* (1992: 297) has a managerial connotation when the duties of public administrators are analysed in terms of the basic principles of Public Administration.

“Exponents of the public management approach maintain that large government institutions function like business enterprises and that they must only be managed to be successful”.

### **3.3 A THEORY FOR PERSONNEL MANAGEMENT**

*Public personnel management according to Klingner and Nalbandian* (1993:2) involves four primary functions through which public personnel management are managed. The four primary functions can be summarised by the acronym “PADS” which denotes the Planning, Acquisition, Development and Sanction related to managing human resources in public organisation.

Personnel management as defined by Stahl (1976:442-443) is simply an aspect of general administration and therefore a responsibility of all who have any kind of leadership authority.

The definition of personnel management by Stahl can thus be summarised as; the function of maintaining effective human resources and human relations in an organisation, is principally a manner of administration.

Andrews (1988:3) defines the public personnel function as consisting of a network of functions and functional activities aimed at the provision, utilisation, remuneration, training, development and retention of a trained, motivated personnel corps in the public sector.

### **3.4 A THEORY FOR PERFORMANCE APPRAISAL**

Andre Bastiaanse, acting director to the Directorate: Human Resource Management at PT wrote *In the Treasury* (2005) that, South Africa is undergoing transformation and with the Staff Performance Management System (SPMS) introduced by PT in 2004 much is expected of this performance management system. The SPMS policy is a "living document" and were reviewed and fined tuned to meet the changing needs of PT and its employees (Bastiaanse, 2005:8).

The Director General of PSC, Richard Levin, writes that many departments are implementing Performance Management and Development Systems, but these are often in the initial stages and have not been implemented according to the prescribed processes. Compliance with guidelines can best be described as erratic and inconsistent" (Levin, 2004:34).

"Effective performance management needs simple, functional systems that support managers in assessing staff and reviewing their performance" (Levin, 2004:34).

That key elements of the 360<sup>o</sup> Performance Appraisal System be incorporated into the current SPMS policy, with referral to a multi-source feedback system whereby feedback (input) are provided by those whom

the employee interacts regularly at work (Edwards and Ewen, 1996:7). This method of assessment is deemed to be more fair and objective.

Holden (1986:249) writes that performance appraisals are a necessary yet controversial aspect of administration. The performance appraisal is a systematic evaluation of an employee by a supervisor or some other person familiar with the employee's performance on the job. Performance appraisals are usually made by use of a standardised form adapted by the agency. Usually ratings are made at periodic intervals. A performance appraisal thus becomes a permanent part of an employee's record with the organisation and is part of the record used by management in subsequent promotion, transfer or termination of decisions.

Performance Appraisal is defined by Cardy & Dobbins (1994:2) "as a formal and systematic process by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed."

The essential components of the above mentioned may be amplified as follows:

- **Identification:** Determining the performance dimensions to be examined;
- **Observation:** Observing all appraisal aspects sufficiently for accurate and fair judgements to be made;
- **Measurement:** Translating the public sector appraiser's observations into value judgements about the ratee's performance;

- **Recording:** Documenting the outcomes of the performance appraisal process; and
- **Development:** Focusing on the future and the improvement of individual performance (appraisal is not simply an assessment of the past).

“Performance appraisal is the ongoing process of evaluating and managing both the behaviour and outcomes in the workplace” (Carrell, *et al.* 1998:258).

Figure 1 The Objectives in Performance Appraisal as set out by Carrell, *et al.* (1998:260).

<b>1. Objectives of Performance Appraisal</b>	
<u>Evaluative Objectives</u>	<u>Developmental Objectives</u>
<ul style="list-style-type: none"> <li>- Compensation Decisions</li> <li>- Staffing Decisions</li> </ul> <p style="text-align: center;"><b>Performance</b></p> <ul style="list-style-type: none"> <li>- Evaluate Selection System</li> </ul>	<ul style="list-style-type: none"> <li>- Performance Feedback</li> <li>- Direction for Future</li> </ul> <ul style="list-style-type: none"> <li>- Identify Training + Development Needs</li> </ul>

Performance Appraisal at the Western Cape Provincial Treasury according to the SPMS policy is the annual event of assessing performance at the end of the performance cycle (2005:5).

### **3.5 THE PERFORMANCE APPRAISAL SYSTEM OF THE WESTERN CAPE PROVINCIAL TREASURY (WCPT)**

Chapter V of the National Treasury Regulations, section 5.3.1, proposes that procedures be established for the effective performance monitoring, evaluation and corrective action of the institution for quarterly reporting to the executive authority.

The Western Cape Provincial Treasury, as a member of the Public Service of South Africa, implemented a staff performance management Policy document, the SPMS, as part of its Human Resource Management (HRM) structures and views it as part of its vision in rendering personnel management services to all its directorates, sub-directorates and components.

The Performance Appraisal process as set out in the SPMS policy guide applies to all employees on salary levels 1 to 12 appointed in terms of the Public Service Act, Act no. 103 of 1994 (as amended).

The objectives of the Performance Appraisal process in terms of the SPMS, are to:-

- assist the PT to move towards a results orientated culture;
- assist the PT in communication and reinforcing the organisation's strategies, values and norms and to integrate individual and corporate objectives;
- establish a performance culture in the PT;
- establish a culture in the PT where results (outputs) are rewarded and not effort (inputs);
- clearly identify each employee's Key Performance outputs and standards;

- foster objective appraisal of employees by enabling supervisors and employees to measure performance against pre-agreed standards;
- identify and manage employees' training and development needs;
- ensure that employees are evaluated in terms of a system that is fair, objective, transparent and which provides equitable rewards and recognition;
- contribute towards ensuring that the various organisation units co-operate with each other to achieve synergy;
- ensure an annual cycle of planning, coaching and feedback; and assist in cases of incapacity (WCPT: 2005).

### **3.5.1 ROLES AND RESPONSIBILITIES OF THE EMPLOYEE AND SUPERVISOR**

#### **▪ Employees**

*At the start of the new cycle employees and supervisors jointly develop an Individual Performance Plan (IPDP) and agrees on the Key Performance Areas (KPA) as per job description.*

Mutually agreed objectives and standards are discussed to clarify roles and expectations.

#### **▪ Supervisor**

The purpose of the SPMS is to provide supervisors with more managerial capacity. It provides a splendid opportunity for all supervisors to manage their employees in a most effective manner.

- **Moderating**

Performance agreements are entered into between a supervisor and an individual employee as the two primary role players in the process. It is however imperative that standards and norms are set by the second level moderating committee prior to the beginning of an assessment period.

- **Senior Management Service (SMS) members**

Senior Management Service (SMS) members are evaluated in terms of the Provincial Treasury's Performance Management and Development System (PMDS) policy guide whereby SMS members are assessed on two components, namely Key Result Areas (KRA) and the Core Management Criteria (CMC) respectively.

The weighting is 80:20 and each area is weighted and contributes a specific part of the total score. KRAs (80%) covering the main areas of work of the SMS member and CMC (20%) of the members' assessment score.

The Staff Performance Management System (SPMS) according to Dr. JC Stegmann, is a policy or guide for the employees of PT which describes the criteria for qualification of Pay progression and incentives as well as addressing the evaluation of quarterly reports and annual assessments, the various role-players, dealing with non-optimal performance and dispute resolutions (2003:1).

### **3.6 SUMMARY**

This chapter described existing theory on issues pertaining to personnel management as a management function, performance appraisal as a component of personnel management as well as a theory for performance appraisal. Also included in this chapter was a discussion of the Performance Appraisal System currently in use by the Provincial Treasury for salary levels 1 to 12 as well as for Senior Management Service members.

The next chapter, chapter 4, provides a comprehensive explanation of the research methodology followed with this research.

## **CHAPTER 4**

### **RESEARCH METHODOLOGY**

#### **4.1 INTRODUCTION**

The research design is the plan according to which we obtain research participants and collect information from them.

*In this research design the researcher will describe what he is going to do with the participants, with a view to reaching conclusions about the research problem / question.*

#### **4.2 RESEARCH METHOD**

The quantitative method of research was used, as it was most acceptable for the particular type of research study, which was undertaken to critically evaluate the effectiveness of performance appraisals in the PT. An attempt was made to express the results of the empirical survey in statistical terms.

##### **4.2.1 Quantitative Research Method**

*Welman & Kruger (2001:191) describes the Quantitative Research Method as a method of obtaining appropriate data for investigating the research problem through different method and techniques relating to numbers.*

#### **4.2.2 Empirical Survey**

An empirical survey was conducted whereby research questionnaires were used to investigate any differences of opinion amongst officials at WCPT, with regard to the personnel appraisal system, and if there is any the determinable cause for the differences.

Samples were drawn randomly from the total population involved, which were considered representative of the WCPT. The comments and/or criticism concerning performance appraisals were considered to be common throughout the Provincial Treasury.

The method of investigating was by way of self-administered questionnaires, which contained a set of dependent variables pertaining to guiding principles and core criteria for performance procedures of personnel in WCPT. The members, male and female, completed the questionnaires. The questionnaires were personally distributed to the participants together with envelopes marked 'Confidential', in which the completed questionnaires could be returned directly.

Participation in the survey was on a voluntary basis and to ensure confidentiality, the participants were requested not to place their names on the questionnaire.

Questionnaires were distributed with a covering page. Once all the questionnaires were returned, the data collected from the questionnaires was analysed statistically. The scientifically analysed data were processed to provide enough information to make a comprehensive and objective conclusion.

Responses to the questionnaires were recorded on a Likert-type five-point scale using responses “strongly agree”, “agree”, “not sure”, “disagree”, and “strongly disagree”.

Both positive and negative scoring items were included in the questionnaire.

Summarised opinions in relation to the various questions were graphically illustrated by using charts.

The interpretation and analysis of data consisted of the following:

- Capturing the data of all the questionnaires into meaningful numeric information to be transformed onto an electronic database.
- Interpreting the data obtained utilising methods of analysis.

#### **4.2.3 Sampling Strategy**

Welman & Kruger (2001:46) describes the population of a research problem as the study object, which may be individuals, groups, organisations, human products and events.

The population for the research survey was carefully chosen and clearly defined. The empirical survey for this research was conducted among personnel members of the Provincial Treasury with a total population of approximately 237 respondents. A response rate of between 55% and 60% was envisaged from the outset.

A response rate of 67% was eventually achieved out of the approximate 200 available personnel. The analysis of the various responses to the questionnaire is explained later in this chapter.

The researcher has the advantage of considerable savings in time and costs with the chosen research approach but the researcher has to realise and acknowledge the possibility of biased data. Ignoring this fact

may have had a distortion in the collected data in the research study when analysing and interpreting the data for possible conclusions and recommendations (Welman & Kruger, 2001:46).

There is a susceptibility to distortion of the data through the introduction of bias into the research design thus particular attention should be given to the methodology to safeguard against such bias.

#### **4.2.4 Organisation and presentation of data**

The results obtained must be released to the scientific community by organising and presenting the collected data systematically depending on the research objective (s) so that valid and accurate conclusions may be drawn from them (Welman & Kruger, 2001:46).

#### **4.2.5 Collecting the data**

The survey questionnaire was used, as a type of measuring instrument to ensure that the required data collected is structured and reliable to be analysed and interpreted in a research study. A self-administered questionnaire was used in the collection of the data from the personnel of WCPT.

### **4.3 THE STRUCTURE OF THE QUESTIONNAIRE**

In the structuring of the questionnaire various factors had to be taken into account eg. the selection of questions, the literacy level of the respondents, not offending respondents and maintaining neutrality.

No use of open-ended statements was contained in the questionnaire and the questions were formulated in such a way that accurate information was received from the respondents.

#### **4.3.1 The format of the questionnaire**

Only structured questions were used in the research survey in order to facilitate the response rate and the analysis of the returned questionnaires. It was also advised that structured questions be used, as they are more economical and less time-consuming to administer.

Multi-choice questions or closed-ended questions according to Welman & Kruger (2001:165) are questions where respondents have to select, from among two or more alternative responses, the one that best applies to them.

The questionnaire for the survey was designed to consist of three basic categories, which consisted of three major questions and with 37 sub-statements / statements per category question. The first category contained question one, which had 20 sub-statements / questions on which the respondents had to express attitudinal responses on a Likert scale of 1 to 5. The 1 represented a "strong disagree" point of view, 2 reflected a "disagree" view, the 3 an "undecided" response, the 4 an "agree" attitude and the 5 a "strongly agree" response.

The second category, which consisted of 15 statements/questions in terms of question 2, relate to certain “core criteria” which had to be responded to in a similar method to the statements in question 1.

Category three, which also represented question 3, contained two questions, which pertained to the relevance of performance appraisal in the development and implementation of financial norms and standards as well as ensuring an effective internal and external communication on financial matters.

The respondents had to respond by indicating their attitudinal preference on the 1 to 5 Likert scale.

A copy of the questionnaire is attached to this research report as per Annexure 1.

#### **4.3.2 Rating Value**

1= Strongly disagree. 2 = Disagree. 3= Undecided 4= Agree. 5= Strongly agree.

The population size (237) was obtained via the WCPT Persal system and after permission was obtained to approach the personnel 237 questionnaires was distributed amongst personnel for their completion.

In certain cases statements / questions on the questionnaire had to be clearly interpreted to some personnel members for clarity purposes. In most cases the self – administered questionnaire proved to be successful and responses to the questionnaire were acceptable.

The researcher collected the responses after allowing the personnel enough time for completion and with the assistance of the registered Statistician at Cape Peninsula University of Technology (CPUT) it was decided to commence with the statistical analysis of the responses that was received. The responses figure indicated a 67% response rate in terms of approximately 200 questionnaires distributed.

The data collected was processed and generated various statistical results. The relative values pertaining to the set statement / questions that emerged from the survey were converted into codified form to the computer database.

#### **4.4 ANALYSIS AND INTERPRETATION OF RESULTS**

Once all the data was obtained by way of the questionnaire and evaluated, the results of the survey conducted was interpreted. In this chapter the analysis of the results of the instruments of the descriptive statistical method are discussed in the following paragraphs as well as an explanation of the results of the 37 statements of the questionnaire.

The results of the mean and standard deviation of the responses to the empirical research survey were provided in the following section. This information was used in the development of the proposed normative model.

#### **4.4.1 Descriptive Statistics**

Spiegel and Stephens (1999:1) describe descriptive statistics as statistics that seeks only to describe and analyse a given group without drawing any conclusions or inferences about a larger group.

The descriptive statistics includes the collection, classification, analysis and presentation of numerical data.

Descriptive analysis can take place by way of a number of statistical analysis instruments for example, the mean, median, and frequency distribution or cross tabulations.

For the purposes of this research and in collaboration with a statistician it was decided to base the analysis of the various responses on the frequency distribution, median as well as standard deviation scale.

- **The Mean**

The mean according to Isabel Willemse (1990:42) is the measure of central tendency most commonly used and can be determined by calculating the sum of the values obtained and divided by the number of observations.

The Mean, also called the arithmetic mean, is the average score for a group.

- **The Standard Deviation**

Spiegel and Stephens (1999:89) describe the standard deviation (dispersion or data variation) as the degree to which numerical data tend to spread about an average value.

The Standard Deviation verifies if the scores on a parametric test are *evenly distributed and cluster closely around the mean*.

By determining the standard deviation from the responses collected from the PT personnel, it will indicate the extent to which the responses vary from the mean.

*Annexure 2* provides a diagrammatic illustration of the statistical analysis of the mean, median and the standard deviation of the 37 statements in the questionnaire.

- **Frequency Distribution**

Spiegel and Stephens (1999:36) states that when summarising large masses of raw data, it is often useful to distribute the data into classes or categories and determine the number of individuals belonging to each class called the class frequency. A tabular arrangement of data by classes together with the corresponding class frequencies is called a frequency distribution or frequency table.

An analysis of the frequency distribution of responses to the statements of the questionnaire is a valuable indicator of attitudinal preferences of the respondents in respect of issues mentioned in the questionnaire.

Frequencies make sure that the distribution is even across that intervals or whether they cluster around one or two intervals.

#### **4.4.2 Interpretation of Data**

- **Statistical analysis**

Welman and Kruger (2001:194) say that data analysis by means of statistical techniques helps us to investigate variables and their effect, relationship and patterns of involvement within our world.

A total of 134 completed questionnaires were received from the respondents which is 67% of the overall response rate in respect of the 200 questionnaires which were distributed to the personnel of the WCPT. At the time of distribution several personnel staff members were on leave while some of the new employees were also not issued with a questionnaire since they were not acquainted with the PT personnel appraisal system. The responses varied from person to person towards the given statements / questions and not all respondents responded to all the 37 statements of the questionnaire.

The highest mean score of all the total responses to the 37 statements in the questionnaire was achieved by statement 1.8.2 which had a calculated mean of 4.6.2, and which indicates the most positively inclined response of all the statements. For that particular statement, the standard deviation was 0.702, which indicate a high degree of unanimity among the respondents to that statement. *See Annexure 3.*

The lowest mean score of all the items was allocated to statement 2.4 from the questionnaire, with a mean score of 3.98 and a standard deviation from the mean of 1.093, which indicate less unanimity than for statement 1.8.2. See Annexure 4.

The following tables will show the frequency distribution of the responses to every individual statement with an applicable explanation pertaining to the significance of the response result for each statement / question.

Table 5.2: Frequency distribution

Statement 1.1.1 – Guiding principle: the process of appraisal should be open.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	3	2.2	2.2	2.2
1 Strongly Disagree	2	1.5	1.5	3.7
2 Disagree	1	.7	.7	4.5
3 Undecided	3	2.2	2.2	6.7
4 Agree	39	29.1	29.1	35.8
5 Strongly Agree	86	64.2	64.2	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.1.1 show that 64.2% of the respondents strongly agreed that the process of appraisal should be open, 29.1% of the respondents agreed, while 2.2% were uncertain, 0.7% disagreed and 1.5% strongly disagreed with the statement.

The results show a significant tendency in favour of the issue of openness as a guiding principle for a performance appraisal system for PT.

Table 5.3: Frequency distribution

Statement 1.1.2 – Guiding principle: the process of appraisal should be transparent.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	3	2.2	2.2	2.2
1 Strongly Disagree	1	.7	.7	3.0
2 Disagree	3	2.2	2.2	5.2
3 Undecided	39	29.1	29.1	34.3
4 Agree	88	65.7	65.7	100.0
5 Strongly Agree	134	100.0	100.0	

The responses to statement 1.1.2 show that 65.7% of the respondents strongly agreed that the process of appraisal should be transparent, 29.1% of the respondents agreed, while 2.2% were uncertain, 0.7% disagreed and no strongly disagreed responses were received with this statement.

The result shows a significant tendency in favour of the issue of transparency as a guiding principle for a performance appraisal system for PT.

Table 5.4: Frequency distribution

Statement 1.1.3 – Guiding principle: the process of appraisal should be developmental.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	2	1.5	1.5	1.5
1 Strongly Disagree	1	.7	.7	2.2
2 Disagree	3	2.2	2.2	4.5
3 Undecided	2	1.5	1.5	6.0
4 Agree	38	28.4	28.4	34.3
5 Strongly Agree	88	65.7	65.7	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.1.3 show that 65.7% of the respondents strongly agreed that the process of appraisal should be developmental, 28.4% of the respondents agreed, while 1.5% was uncertain, 2.2% disagreed and 0.7% strongly disagreed with the statement.

The results show a significant tendency in favour of the issue of development as a guiding principle for a performance appraisal system for PT.

Table 5.5: Frequency distribution

Statement 1.2.1 – Guiding principle: the appraisal of PT personnel should be a developmental process.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	2	1.5	1.5	1.5
1 Strongly Disagree	8	6.0	6.0	7.5
2 Disagree	7	5.2	5.2	12.7
3 Undecided	9	6.7	6.7	19.4
4 Agree	44	32.8	32.8	52.2
5 Strongly Agree	64	47.8	47.8	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.2.1 show that 47.8% of the respondents strongly agreed that the process of appraisal should be a developmental process, 32.8% of the respondents agreed, while 6.7% were uncertain, 5.2% disagreed and 6.0% strongly disagreed with the statement.

The results show a significant tendency in favour that the appraisal process should be a developmental process as a guiding principle for a performance appraisal system for PT.

**Table 5.6: Frequency distribution**

**Statement 1.2.2 – Guiding principle: the appraisal of PT personnel needs continuous support.**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	2	1.5	1.5	1.5
1 Strongly Disagree	3	2.2	2.2	3.7
2 Disagree	3	2.2	2.2	6.0
3 Undecided	7	5.2	5.2	11.2
4 Agree	44	32.8	32.8	44.0
5 Strongly Agree	75	56.0	56.0	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.2.2 show that 56.0 % of the respondents strongly agreed that the process of appraisal of PT personnel needs continuous support, 32.8% of the respondents agreed, while 5.2% were uncertain, 2.2% disagreed and 2.2% strongly disagreed with the statement.

The results show a significant tendency in favour of the issue of continuous support for personnel as a guiding principle for a performance appraisal system for PT.

Table 5.7: Frequency distribution

Statement 1.2.3. – Guiding principle: the appraisal of PT personnel is designed and intended to entrench strengths.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	2	1.5	1.5	1.5
1 Strongly Disagree	6	4.5	4.5	6.0
2 Disagree	6	4.5	4.5	10.5
3 Undecided	11	8.2	8.3	18.8
4 Agree	36	26.9	27.1	45.9
5 Strongly Agree	72	53.7	54.1	100.0
<b>Total</b>	<b>133</b>	<b>99.3</b>	<b>100.0</b>	

The responses to statement 1.2.3 show that 53.7% of the respondents strongly agreed that the process of appraisal is designed and intended to entrench strengths, 26.9% of the respondents agreed, while 8.2% were uncertain, 4.5% disagreed and 4.5% strongly disagreed with the statement.

The results show a significant tendency in favour of the process of appraisal being designed and intended to entrench strengths as a guiding principle for a performance appraisal system for PT.

Table 5.8: Frequency distribution

Statement 1.2.4. – Guiding principle: the appraisal of PT personnel is designed and intended to develop potential.

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	1	.7	.8	.8
1	Strongly Disagree	8	6.0	6.1	6.8
2	Disagree	6	4.5	4.5	11.4
3	Undecided	11	8.2	8.3	19.7
4	Agree	38	28.4	28.8	48.5
5	Strongly Agree	68	50.7	51.5	100.0
<b>Total</b>		<b>132</b>	<b>98.5</b>	<b>100.0</b>	
Missing	System	2	1.5		
<b>Total</b>		<b>134</b>	<b>100.0</b>		

The responses to statement 1.2.4 show that 50.7% of the respondents strongly agreed that the appraisal of PT personnel is designed and intended to develop potential, 28.4% of the respondents agreed, while 8.2% were uncertain, 4.5% disagreed and 6.0% strongly disagreed with the statement.

The result shows a significant tendency in favour of the issue that the appraisal of PT personnel should be designed and intended to develop potential as a guiding principle for a performance appraisal system for PT.

Table 5.9: Frequency distribution

Statement 1.2.5. – Guiding principle: the appraisal of PT personnel is designed and intended to overcome weaknesses.

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	2	1.5	1.5	1.5
1	Strongly Disagree	6	4.5	4.5	6.1
2	Disagree	9	6.7	6.8	12.9
3	Undecided	12	9.0	9.1	22.0
4	Agree	34	25.4	25.8	47.7
5	Strongly Agree	69	51.5	52.3	100.0
<b>Total</b>		<b>132</b>	<b>98.5</b>	<b>100.0</b>	
Missing	System	2	1.5		
<b>Total</b>		<b>134</b>	<b>100.0</b>		

The responses to statement 1.2.5 show that 51.5% of the respondents strongly agreed that the appraisal of PT personnel is designed and intended to overcome weaknesses, 25.4% of the respondents agreed, while 9.0% were uncertain, 6.7% disagreed and 4.5% strongly disagreed with the statement.

The result show a significant tendency in favour of the issue that the appraisal of PT personnel should be designed and intended to overcome weaknesses as a guiding principle for a performance appraisal system for PT.

Table 5.10: Frequency distribution

Statement 1.3.1 – Guiding principle: the appraisal process should always involve relevant management staff.

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	1	.7	.8	.8
1	Strongly Disagree	2	1.5	1.5	2.3
2	Disagree	1	.7	.8	3.0
3	Undecided	4	3.0	3.0	6.0
4	Agree	39	29.1	29.3	35.3
5	Strongly Agree	86	64.2	64.7	100.0
<b>Total</b>		<b>133</b>	<b>99.3</b>	<b>100.0</b>	
Missing	System	1	.7		
<b>Total</b>		<b>134</b>	<b>100.0</b>		

The responses to statement 1.3.1 show that 64.2% of the respondents strongly agreed that the appraisal process should always involve relevant management staff, 29.1% of the respondents agreed, while 3.0% were uncertain, 0.7% disagreed and 1.5% strongly disagreed with the statement.

The result shows a significant tendency in favour that the relevant management staff should always be involve with the appraisal process as a guiding principle for a performance appraisal system for PT.-

Table 5.11: Frequency distribution

Statement 1.3.2 – Guiding principle: the appraisal process should always involve relevant training staff.

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	2	1.5	1.5	1.5
2	Disagree	3	2.2	2.3	3.8
3	Undecided	11	8.2	8.3	12.0
4	Agree	36	26.9	27.1	39.1
5	Strongly Agree	81	60.4	60.9	100.0
<b>Total</b>		<b>133</b>	<b>99.3</b>	<b>100.0</b>	
Missing	System	1	.7		
<b>Total</b>		<b>134</b>	<b>100.0</b>		

The responses to statement 1.3.2 show that 60.4% of the respondents strongly agreed that the process of appraisal should always involve relevant training staff, 26.9% of the respondents agreed, while 8.2% were uncertain, 2.2% disagreed and no strongly disagreed responses were received with this statement.

The result shows a significant tendency in favour of the issue of involving the relevant training staff during the appraisal process as a guiding principle for a performance appraisal system for PT.

**Statement 1.4.2 – Guiding principle: all participants should be trained to conduct the process of appraisal.**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	1	.7	.7	.7
2 Disagree	2	1.5	1.5	2.2
3 Undecided	8	6.0	6.0	8.2
4 Agree	31	23.1	23.1	31.3
5 Strongly Agree	92	68.7	68.7	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.4.2 show that 68.7% of the respondents strongly agreed that all participants should be trained to conduct the process of appraisal, 23.1% of the respondents agreed, while 6.0% were uncertain, 1.5% disagreed and no strongly disagreed responses were received with this statement.

The result shows a significant tendency in favour of the issue that all participants should be trained to conduct the process of appraisal as a guiding principle for a performance appraisal system for PT.

Table 5.14: Frequency distribution

Statement 1.5 – Guiding principle: PT personnel should be informed of all aspects of the appraisal process, so that they can take the initiative to engage in such process.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	2	1.5	1.5	1.5
1 Strongly Disagree	1	.7	.7	2.2
2 Disagree	1	.7	.7	3.0
3 Undecided	7	5.2	5.2	8.2
4 Agree	28	20.9	20.9	29.1
5 Strongly Agree	95	70.9	70.9	100.0
Total	134	100.0	100.0	

The responses to statement 1.5 show that 70.9% of the respondents strongly agreed that PT personnel should be informed of all aspects of the appraisal process, so that they can take the initiative to engage in such process, 20.9% of the respondents agreed, while 5.2% were uncertain, 0.7% disagreed and 0.7% strongly disagreed with the statement.

The result shows a significant tendency in favour that PT personnel should be informed of all aspects of the appraisal process, so that they can take the initiative to engage in such process as a guiding principle for a performance appraisal system for PT.

Table 5.15: Frequency distribution

Statement 1.6.1 – Guiding principle: Prompt feedback by way of discussions with those who are being appraised should be one of the indispensable elements of appraisal.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	2	1.5	1.5	1.5
2 Disagree	2	1.5	1.5	3.0
3 Undecided	10	7.5	7.5	10.4
4 Agree	43	32.1	32.1	42.5
5 Strongly Agree	77	57.5	57.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.6.1 show that 57.5% of the respondents strongly agreed that prompt feedback by way of discussions with those who are being appraised should be one of the indispensable elements of appraisal, 32.1% of the respondents agreed, while 7.5% were uncertain, 1.5% disagreed and 1.5% strongly disagreed with the statement.

The result shows a significant tendency in favour of the issue that prompt feedback by way of discussions with those who are being appraised should be one of the indispensable elements of appraisal as a guiding principle for a performance appraisal system for PT.

**Table 5.16: Frequency distribution**

**Statement 1.6.2 – Guiding principle: Prompt feedback by way of written communication to those who are being appraised should be one of the indispensable elements of appraisal.**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	2	1.5	1.5	1.5
1	Strongly Disagree	2	1.5	1.5	3.0
2	Disagree	1	.7	.7	3.7
3	Undecided	10	7.5	7.5	11.2
4	Agree	50	37.3	37.3	48.5
5	Strongly Agree	69	51.5	51.5	100.0
	<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.6.2 show that 51.5% of the respondents strongly agreed that prompt feedback by way of written communication to those who are being appraised should be one of the indispensable elements of appraisal, 37.3% of the respondents agreed, while 7.5% were uncertain, 0.7% disagreed and 1.5% strongly disagreed with the statement.

The result shows a significant tendency in favour of prompt feedback by way of written communication to those who are being appraised should be one of the indispensable elements of appraisal as a guiding principle for a performance appraisal system for PT.

**Table 5.17: Frequency distribution**

**Statement 1.7.1 – Guiding principle: The appraisee has the right: To have access to the appraisal report.**

	Frequency	Percent	Valid Percent	Cumulative Percent
0 Missing	2	1.5	1.5	1.5
2 Disagreed	1	.7	.7	2.2
3 Undecided	4	3.0	3.0	5.2
4 Agreed	34	25.4	25.4	30.6
5 Strongly Agreed	93	69.4	69.4	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.7.1 show that 69.4% of the respondents strongly agreed that the appraisee has the right to have access to the appraisal report, 25.4% of the respondents agreed, while 3.0% were uncertain, 0.7% disagreed and no strongly disagreements with the statement.

The results shows a significant tendency in favour of the appraisee having a right to have access to the appraisal report as a guiding principle for a performance appraisal system for PT.

**Table 5.18: Frequency distribution**

**Statement 1.7.2 – Guiding principle: The appraisee has the right: To respond to the appraisal report.**

	Frequency	Percent	Valid Percent	Cumulative Percent
0 Missing	1	.7	.7	.7
2 Disagreed	1	.7	.7	1.5
3 Undecided	4	3.0	3.0	4.5
4 Agreed	37	27.6	27.6	32.1
5 Strongly Agreed	91	67.9	67.9	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.7.2 show that 67.9% of the respondents strongly agreed that the appraisee has the right to respond to the appraisal report, 27.6% of the respondents agreed, while 3.0% were uncertain, 0.7% disagreed and no strongly disagreed responses were received with this statement.

The results shows a significant tendency in favour that the appraisee has the right to respond to the appraisal report as a guiding principle for a performance appraisal system for PT.

Table 5.19: Frequency distribution

Statement 1.7.3 – Guiding principle: The appraisee has the right: The *audi alteram partem* rule (“listen to the other side”) should apply.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	1	.7	.7	.7
1 Strongly Disagree	1	.7	.7	1.5
2 Disagree	1	.7	.7	2.2
3 Undecided	3	2.2	2.2	4.5
4 Agree	35	26.1	26.1	30.6
5 Strongly Agree	93	69.4	69.4	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.7.3 show that 69.4% of the respondents strongly agreed that the appraisee has the right that the *audi alteram partem* rule (“listen to the other side”) should apply, 26.1% of the respondents agreed, while 2.2% were uncertain, 0.7% disagreed and 0.7% strongly disagreed with the statement.

The result shows a significant tendency in favour that the appraisee should have the right that the *audi alteram partem* rule (“listen to the other side”) should apply as a guiding principle for a performance appraisal system for PT.

**Table 5.20: Frequency distribution**

**Statement 1.8.1 – Guiding principle: The instruments for the appraisal should have appropriate criteria to: Appraise the nature of the work performed.**

	Frequency	Percent	Valid Percent	Cumulative Percent
0 Missing	2	1.5	1.5	1.5
3 Undecided	5	3.7	3.7	5.2
4 Agreed	39	29.1	29.1	34.3
5 Strongly Agreed	88	65.7	65.7	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.8.1 show that 65.7% of the respondents strongly agreed that the instruments for the appraisal should have appropriate criteria to appraise the nature of the work performed, 29.1% of the respondents agreed, while 3.7% were uncertain, 0% disagreed and no strongly disagreed responses were received with this statement.

The result shows a significant tendency in favour that the instruments for the appraisal should have appropriate criteria to appraise the nature of the work performed as a guiding principle for a performance appraisal system for PT.

Table 5.21: Frequency distribution

**Statement 1.8.2 – Guiding principle: The instruments for the appraisal should have appropriate criteria to: Appraise the level of the work performed.**

	Frequency	Percent	Valid Percent	Cumulative Percent
0 Missing	1	.7	.7	.7
2 Disagree	1	.7	.7	1.5
3 Undecided	4	3.0	3.0	4.5
4 Agree	35	26.1	26.1	30.6
5 Strongly Agree	93	69.4	69.4	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 1.8.2 show that 69.4% of the respondents strongly agreed that the instruments for the appraisal should have appropriate criteria to appraise the level of the work performed, 26.1% of the respondents agreed, while 3.0% were uncertain, 0.7% disagreed and no strongly disagreed responses were received with this statement.

The result shows a significant tendency in favour that the instruments for the appraisal should have appropriate criteria to appraise the level of the work performed as a guiding principle for a performance appraisal system for PT.

Table 5.22: Frequency distribution

Statement 2.1 – Core criteria: Planning of work.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	6	4.5	4.5	4.5
2 Disagree	4	3.0	3.0	7.5
3 Undecided	13	9.7	9.7	17.2
4 Agree	50	37.3	37.3	54.5
5 Strongly Agree	61	45.5	45.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.1 show that 45.5% of the respondents strongly agreed with planning of work as part of the core criteria, 37.3% of the respondents agreed, while 9.7% were uncertain, 3.0% disagreed and 4.5% strongly disagreed with the statement.

The result shows a significant tendency in favour of planning of work as part of the core criteria of the PT personnel's performance.

Table 5.23: Frequency distribution

Statement 2.2 – Core criteria: Organisation.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	2	1.5	1.5	5.2
3 Undecided	15	11.2	11.2	16.4
4 Agree	53	39.6	39.6	56.0
5 Strongly Agree	59	44.0	44.0	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.2 show that 44% of the respondents strongly agreed with organisation as part of the core criteria, 39.6% of the respondents agreed, while 11.2% were uncertain, 1.5% disagreed and 3.7% strongly disagreed with the statement.

The result shows a significant tendency in favour that organising should be part of the core criteria of the PT personnel's performance.

Table 5.24: Frequency distribution

Statement 2.3 – Core criteria: Co-ordination.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	5	3.7	3.7	7.5
3 Undecided	17	12.7	12.7	20.1
4 Agree	47	35.1	35.1	55.2
5 Strongly Agree	60	44.8	44.8	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.3 show that 44.8% of the respondents strongly agreed with co-ordination as part of the core criteria, 35.1% of the respondents agreed, while 12.7% were uncertain, 3.7% disagreed and 3.7% strongly disagreed with the statement.

The result shows a significant tendency in favour of co-ordination as part of the core criteria of the PT personnel's performance.

**Table 5.25: Frequency distribution**  
**Statement 2.4 – Core criteria: Delegation**

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	10	7.5	7.5	11.2
3 Undecided	21	15.7	15.7	26.9
4 Agree	45	33.6	33.6	60.4
5 Strongly Agree	53	39.6	39.6	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.4 show that 39.6% of the respondents strongly agreed with delegation as part of the core criteria, 33.6% of the respondents agreed, while 15.7% were uncertain, 7.5% disagreed and 3.7% strongly disagreed with the statement.

The result shows a significant tendency in favour of delegation as part of the core criteria of the PT personnel's performance.

**Table 5.26: Frequency distribution**  
**Statement 2.5 – Core criteria: Decision-making**

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	5	3.7	3.7	7.5
3 Undecided	17	12.7	12.7	20.1
4 Agree	41	30.6	30.6	50.7
5 Strongly Agree	66	49.3	49.3	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.5 show that 49.3% of the respondents strongly agreed with decision - making as part of the core criteria, 30.6% of the respondents agreed, while 12.7% were uncertain, 3.7% disagreed and 3.7% strongly disagreed with the statement.

The result shows a significant tendency in favour of decision - making as part of the core criteria of the PT personnel's performance.

**Table 5.27: Frequency distribution**

**Statement 2.6 – Core criteria: Finance**

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	4	3.0	3.0	3.0
2 Disagree	6	4.5	4.5	7.5
3 Undecided	21	15.7	15.7	23.1
4 Agree	42	31.3	31.3	54.5
5 Strongly Agree	61	45.5	45.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.6 show that 45.5% of the respondents strongly agreed with finance as part of the core criteria, 31.3% of the respondents agreed, while 15.7% were uncertain, 4.5% disagreed and 3.0% strongly disagreed with the statement.

The result shows a significant tendency in favour of finance as part of the core criteria of the PT personnel's performance.

Table 5.28: Frequency distribution

## Statement 2.7 – Core criteria: Utilisation

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	4	3.0	3.0	6.7
3 Undecided	26	19.4	19.4	26.1
4 Agree	42	31.3	31.3	57.5
5 Strongly Agree	57	42.5	42.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.7 show that 42.5% of the respondents strongly agreed with utilisation as part of the core criteria, 42.5% of the respondents agreed, while 31.3% were uncertain, 19.4% disagreed and 3.0% strongly disagreed with the statement.

The results show a significant tendency in favour of utilisation as part of the core criteria of the PT personnel's performance.

Table 5.29: Frequency distribution

## Statement 2.8 – Core criteria: Personnel Development

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	1	.7	.7	.7
1 Strongly Disagree	6	4.5	4.5	5.2
2 Disagree	4	3.0	3.0	8.2
3 Undecided	9	6.7	6.7	14.9
4 Agree	49	36.6	36.6	51.5
5 Strongly Agree	65	48.5	48.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.8 show that 48.5% of the respondents strongly agreed with personnel development as part of the core

criteria, 36.6% of the respondents agreed, while 6.7% were uncertain, 3.0% disagreed and 4.5% strongly disagreed with the statement.

The results show a significant tendency in favour of personnel development as part of the core criteria of the PT personnel's performance.

**Table 5.30: Frequency distribution**

**Statement 2.9 – Core criteria: Motivation of personnel**

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	10	7.5	7.5	11.2
3 Undecided	13	9.7	9.7	20.9
4 Agree	41	30.6	30.6	51.5
5 Strongly Agree	65	48.5	48.5	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.9 show that 48.5% of the respondents strongly agreed with motivation of personnel as part of the core criteria, 30.6% of the respondents agreed, while 9.7% were uncertain, 7.5% disagreed and 3.7% strongly disagreed with the statement.

The results show a significant tendency in favour of motivation of personnel as part of the core criteria of the PT personnel's performance.

Table 5.31: Frequency distribution

Statement 2.10 – Core criteria: Teambuilding

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	1	.7	.7	.7
1 Strongly Disagree	4	3.0	3.0	3.7
2 Disagree	8	6.0	6.0	9.7
3 Undecided	13	9.7	9.7	19.4
4 Agree	40	29.9	29.9	49.3
5 Strongly Agree	68	50.7	50.7	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.10 show that 50.7% of the respondents strongly agreed with teambuilding as part of the core criteria, 29.9% of the respondents agreed, while 9.7% were uncertain, 6.0% disagreed and 3.0% strongly disagreed with the statement.

The results show a significant tendency in favour of team building as part of the core criteria of the PT personnel's performance.

Table 5.32: Frequency distribution

Statement 2.11 – Core criteria: Evaluation of personnel

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	8	6.0	6.0	6.0
2 Disagree	7	5.2	5.2	11.2
3 Undecided	8	6.0	6.0	17.2
4 Agree	45	33.6	33.6	50.7
5 Strongly Agree	66	49.3	49.3	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.11 show that 49.3% of the respondents strongly agreed with evaluation of personnel as part of the core criteria,

33.6% of the respondents agreed, while 6.0% were uncertain, 5.2% disagreed and 6.0% strongly disagreed with the statement.

The results show a significant tendency in favour of evaluation of personnel as part of the core criteria of the PT personnel's performance.

Table 5.33: Frequency distribution

Statement 2.12 – Core criteria: Listening ability

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	7	5.2	5.3	5.3
2 Disagree	10	7.5	7.5	12.8
3 Undecided	9	6.7	6.8	19.5
4 Agree	43	32.1	32.3	51.9
5 Strongly Agree	64	47.8	48.1	100.0
<b>Total</b>	<b>133</b>	<b>99.3</b>	<b>100.0</b>	
Missing System	1	.7		
<b>Total</b>	<b>134</b>	<b>100.0</b>		

The responses to statement 2.12 show that 47.8% of the respondents strongly agreed that the ability to listen should be part of the core criteria, 32.1% of the respondents agreed, while 6.7% were uncertain, 7.5% disagreed and 5.2% strongly disagreed with the statement.

The results show a significant tendency in favour that the ability to listen should be part of the core criteria of the PT personnel's performance.

Table 5.34: Frequency distribution

Statement 2.13 – Core criteria: Exercise of control.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	8	6.0	6.0	6.0
2 Disagree	6	4.5	4.5	10.4
3 Undecided	11	8.2	8.2	18.7
4 Agree	50	37.3	37.3	56.0
5 Strongly Agree	59	44.0	44.0	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.13 show that 44.0% of the respondents strongly agreed with exercise of control as part of the core criteria, 37.3% of the respondents agreed, while 8.2% were uncertain, 4.5% disagreed and 6.0% strongly disagreed with the statement.

The results show a significant tendency in favour of the exercise of control as part of the core criteria of the PT personnel's performance.

Table 5.35: Frequency distribution

Statement 2.14 – Core criteria: Exercise of discipline.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	6	4.5	4.5	4.5
2 Disagree	5	3.7	3.7	8.2
3 Undecided	9	6.7	6.7	14.9
4 Agree	46	34.3	34.3	49.3
5 Strongly Agree	68	50.7	50.7	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.14 show that 50.7% of the respondents strongly agreed that exercise of discipline as part of the core criteria,

34.3% of the respondents agreed, while 6.7% were uncertain, 3.7% disagreed and 4.5% strongly disagreed with the statement.

The results show a significant tendency in favour of exercise of discipline as part of the core criteria of the PT personnel's performance.

Table 5.36: Frequency distribution

Statement 2.15 – Core criteria: Application of knowledge.

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	4	3.0	3.0	6.7
3 Undecided	11	8.2	8.2	14.9
4 Agree	40	29.9	29.9	44.8
5 Strongly Agree	74	55.2	55.2	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 2.15 show that 55.2% of the respondents strongly agreed with the application of knowledge as part of the core criteria, 29.9% of the respondents agreed, while 8.2% were uncertain, 3.0% disagreed and 3.7% strongly disagreed with the statement.

The results show a significant tendency in favour of the application of knowledge as part of the core criteria of the PT personnel's performance.

Table 5.37: Frequency distribution

**Statement 3.1 – To what extent can performance appraisal be regarded as a factor in the development and implementation of financial norms and standards?**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Missing	2	1.5	1.5	1.5
1	Strongly Disagree	2	1.5	1.5	3.0
2	Disagree	6	4.5	4.5	7.5
3	Undecided	23	17.2	17.2	24.6
4	Agree	49	36.6	36.6	61.2
5	Strongly Agree	52	38.8	38.8	100.0
	<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 3.1 show that 38.8% of the respondents strongly agreed that performance appraisal can be regarded as a factor in the development and implementation of financial norms and standards, 36.6% of the respondents agreed, while 17.2% were uncertain, 4.5% disagreed and 1.5% strongly disagreed with the statement.

The results show a significant tendency favouring that performance appraisal can be regarded as a factor in the development and implementation of financial norms and standards.

Table 5.38: Frequency distribution

Statement 3.2 – To what extent can performance appraisal be regarded as a factor in ensuring effective internal and external communication on financial matters?

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Missing	1	.7	.7	.7
1 Strongly Disagree	5	3.7	3.7	4.5
2 Disagree	2	1.5	1.5	6.0
3 Undecided	22	16.4	16.4	22.4
4 Agree	50	37.3	37.3	59.7
5 Strongly Agree	54	40.3	40.3	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

The responses to statement 3.2 show that 40.3% of the respondents strongly agreed that the performance appraisal can be regarded as a factor in ensuring effective internal and external communication on financial matters, 37.3% of the respondents agreed, while 16.4% were uncertain, 1.5% disagreed and 3.7% strongly disagreed with the statement.

The results show a significant tendency favouring that performance appraisal can be regarded as a factor in ensuring effective internal and external communication on financial matters.

#### **4.5 SUMMARY**

In this chapter the research design of the study into the performance appraisal of the Provincial Treasury was described.

The research methodology followed in the research was explained, including references to theory search, empirical survey and data interpretation and analysis.

The research methodology was followed by a discussion of the population of the research, the element of bias and the management of the data, as well as the design and distribution of the questionnaire.

Various statistical instruments were discussed in a few words by way of a description.

In this chapter also the empirical survey of the opinion of the personnel regarding the procedures of performance appraisal at Western Cape Provincial Treasury was explained in detail and the results of the survey conducted amongst personnel, analysed and interpreted.

In general, in terms of the responses to the questionnaire, it could be summarised that:

the personnel of WCPT are in favour of a open, transparent and developmental performance appraisal process;

the appraisal process should be for the development of personnel with continuous support;

the appraisal process should be designed and entrench strengths and develop potential as well as to overcome weaknesses;

the appraisal process should always involve management and training staff;

the performance appraisal should be inclusive of all stakeholders and that all participants should be trained to conduct the appraisal; the personnel should be informed of all aspects of the appraisal process; there should be prompt feedback by way of discussions with those who are being appraised or by way of written communication; the appraisee has the right to have access to the appraisal report, to respond to the appraisal report and be offered the opportunity express his or her views; and that the instruments for the appraisal should have the appropriate criteria to appraise the nature of the work performed as well as appraising the level of the work performed.

It can furthermore be deducted that personnel at WCPT agree that the appraisal of performance of the personnel should be along the following core criteria;

planning of work and organising;  
coordination and delegation;  
decision making and finance;  
personnel development and personnel motivation;  
teambuilding and evaluation of personnel;  
listening ability; exercise of control as well as discipline; and  
the application of knowledge.

It can also be summarised:

that performance appraisal can be regarded as a factor in the development and implementation of financial norms and standards; and performance appraisal can be a factor in ensuring effective internal

and external communication on financial matters.

The following chapter contains recommendations and concluding remarks.

## **CHAPTER 5**

### **RECOMMENDATIONS AND CONCLUDING REMARKS**

#### **5.1 INTRODUCTION**

This chapter contains a brief exposition of the various chapters of this research report as well as a number of recommendations followed by concluding remarks.

#### **5.2 BRIEF EXPOSITION OF CHAPTERS**

##### **Chapter One**

In chapter one a brief introduction and background to the research problem is explained followed by the statement of the research problem. A brief summary of the research objectives as well as the delimitation of the research was explained by the researcher followed by an in-dept discussion of literature search, normative criteria in the research design of performance appraisals. The empirical survey is briefly discussed followed with a short description of the research population, statistical analysis and interpretation of the findings.

The chapter ends off with a clarification of concepts before a summary of the chapter.

##### **Chapter Two**

Chapter two provide a legal or regulatory framework within which the performance of personnel at the WCPT is managed.

### **Chapter Three**

**Chapter three** give a theoretical approach to performance appraisal with reference to WCPT. A funnel approach has been used in describing the theoretical approach to performance appraisal in the South African government as well as the personnel management theory. A performance management summary was followed by an explanation of performance appraisal as a component of personnel management. The roles and responsibilities of the employees and supervisors in the performance appraisal process at the WCPT are provided followed by a summary of the chapter.

### **Chapter Four**

**In chapter four** the researcher provides a thorough description of the research methodology that was followed in the process of collecting information from the research participants. The quantitative research method was discussed for the empirical survey. The structure of the self-administered questionnaire was described in detail as well as the type of questionnaire for the survey. The summary is followed after a brief discussion is provided on the statistical analysis of the data collected. The researcher also gave detailed analysis of the responses of the questionnaires received from the personnel, which was converted into descriptive statistical numbers to be thoroughly interpreted according to the mean, the standard of deviation and frequency distribution. The graph for the highest as well as lowest mean is included.

### **Chapter Five**

**In chapter five** the researcher provide us with a brief exposition of the chapters of the research as well as proposing recommendations to be considered for implementation by the WCPT together with concluding

remarks to the research.

## **Annexures**

**Annexures 1-4** that includes a copy of the questionnaire, tables and charts, follows a bibliography of all the literature consulted for the completion of the research.

## **5.3 RECOMMENDATIONS**

In view of the results of the survey conducted at PT and in view of the fact that the SPMS-process should be fair, equitable and acceptable to the majority of its employees together with measuring it with another example of a performance appraisal system like the 360<sup>o</sup> Performance Appraisal System as background, the following recommendations are proposed for consideration:

### **5.3.1 Recommendation One**

That the existing SPMS policy extensively be communicated to employees and all other stakeholders involved to clear any uncertainties, doubts and misinterpretations by current or new employees.

A personnel appraisal policy, which is not clearly understood by the entire personnel corps, is a recipe for disaster. Without clearly defined rules and regulations communicated in the performance management system personnel, in writing and in words, will create unnecessary misinterpretations of procedures and actions. Personnel should regularly be invited to clear any misunderstandings regarding the appraisal process.

### **5.3.2 Recommendation Two**

That the performance appraisal framework for evaluating personnel at WCPT continuously be reviewed, evaluated adapted and implemented with the involvement of all stakeholders including labour unions.

The performance appraisal process should regularly be reviewed to determine whether the strategic goals set by the WCPT are still achievable utilising its current framework of appraisal. This process must include all the departmental role-players associated with analysing, monitoring, reviewing and implementation of the performance management system.

### **5.3.3 Recommendation Three**

That all supervisors and managers undergo various training workshops to increase their knowledge, skills and ability in the appraisal of personnel. Special attention should be given to appraisal processes and techniques.

The training workshops should specifically focus on the supervisor's ability to provide complete, accurate feedback to subordinates as well as communicating specific expectations in all areas of job performance during the performance appraisal process. The supervisor should also obtain knowledge in how to identify departmental and individual obstacles to improving the performance of personnel

### **5.3.4 Recommendation Four**

That the directorate: Human Resource Management (HRM) must develop a performance management system, which promotes the perception of fairness amongst all the employees at the WCPT.

If the performance management system is seen to be arbitrary and unfair by the personnel, the whole process will be considered to be unsatisfactory in the eyes of the personnel. If employees do not accept and agree with the performance management system it will result in conflict, dissatisfaction and the lack of communication.

Fair performance management systems will result in improved employee:

- (i) attitudes and reactions to appraisal;
- (ii) motivation and performance;
- (iii) organisational attitudes and legal challenges.

#### **5.4 CONCLUDING REMARKS**

It is evident from the analysis and interpretation of the survey results discussed in chapter 4 that personnel place a very high value on various issues regarding the appraisal process at Provincial Treasury.

This fact is clearly expressed by the highest mean that was recorded for statement 1.8.2 that express a very clear point that the instruments for the appraisal should have appropriate criteria to appraise the level of work performed by PT personnel.

To achieve the state's objective of ensuring effective, economical and efficient performance in government, national and provincial departments are tasked to affect this and other objectives via a formal structure of assessing the performance of the employees under its control. This measure of evaluating the performance of personnel has the purpose of ensuring that the broad strategic policy of the department is adhered to as well as ensuring the overall objectives of the state are met.

It is in view of the afore-mentioned as well as the survey analysis among PT personnel, it is imperative that an acceptable appraisal process be

introduced that can be effective in determining the true level of performance of personnel and an appraisal process that is primarily supported by all the employees of PT.

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## Annexure 1 - Questionnaire

### QUESTION 1

To what extent would you agree:

(a) Are the procedures for performance evaluation of personnel at the Provincial Treasury (PT), taking place in accordance with the under-mentioned guiding principles?

**LEGEND:**

**1 = STRONGLY DISAGREE; 2 = DISAGREE; 3 = UNDECIDED; 4 = AGREE; 5 = STRONGLY AGREE**

(PLEASE TICK THE APPROPRIATE COLUMNS PER ITEM)

STATEMENTS		DEGREE OF PREFERENCE				
		1	2	3	4	5
1	The process of appraisal should be:					
	Open -					
	1.2 Transparent					
	1.3 Developmental					
2	The appraisal of PT personnel:					
	2.1 Is a developmental process.					
	2.2 Needs continuous support.					
	2.3 Is designed and intended to entrench strengths.					
	2.4 Is designed and intended to develop potential.					
	2.5 Is designed and intended to overcome weaknesses.					
3	The process of appraisal should always involve:					
	3.1 Relevant management staff.					
	3.2 Relevant training staff.					
4	4.1 Performance appraisal should be inclusive of all stakeholders.					
	4.2 All participants should be trained to conduct the process of appraisal.					
5	PT personnel should be informed of all aspects of the appraisal process, so that they can take the initiative to engage in such process.					

<b>LEGEND:</b> 1 = STRONGLY DISAGREE; 2 = DISAGREE; 3 = UNDECIDED; 4 = AGREE; 5 = STRONGLY AGREE (PLEASE TICK THE APPROPRIATE COLUMNS PER ITEM)		1	2	3	4	5
<b>6</b>	Prompt feedback by way of:					
	6.1 Discussions with those who are being appraised should be one of the indispensable elements of appraisal.					
	6.2 Written communication to those who are being appraised should be one of the indispensable elements of appraisal.					
<b>7</b>	The appraisee has the right:					
	7.1 To have access to the appraisal report.					
	7.2 To respond to the appraisal report.					
	7.3 The <i>audi alteram partem</i> rule ("listen to the other side") should apply.					
<b>8</b>	The instruments for the appraisal should have appropriate criteria to:					
	8.1 Appraise the nature of the work performed.					
	8.2 Appraise the level of the work performed.					

## QUESTION 2

To what extent are you in agreement with the following core criteria of Provincial Treasury's staff performance?

### LEGEND

1 = STRONGLY DISAGREE; 2 = DISAGREE; 3 = UNDECIDED; 4 = AGREE; 5 = STRONGLY AGREE  
(PLEASE TICK THE APPROPRIATE COLUMNS PER ITEM)

<b>CORE CRITERIA</b>		<b>DEGREE OF PREFERENCE</b>				
		1	2	3	4	5
<b>1</b>	Planning of work					
<b>2</b>	Organisation					
<b>3</b>	Co-ordination					
<b>4</b>	Delegation					

5	Decision making					
6	Finance					
7	Utilisation					
8	Personnel Development					
9	Motivation of personnel					
10	Team-building					
11	Evaluation of personnel					
12	Listening ability					
13	Exercise of control					
14	Exercise of discipline					
15	Application of knowledge					

### QUESTION 3

#### LEGEND

1 = STRONGLY DISAGREE; 2 = DISAGREE; 3 = UNDECIDED; 4 = AGREE; 5 = STRONGLY AGREE  
(PLEASE TICK THE APPROPRIATE COLUMNS PER ITEM)

(PLEASE TICK THE NUMERICAL BLOCK OF YOUR CHOICE)		DEGREE OF PREFERENCE				
		1	2	3	4	5
1.	To what extent can performance appraisal be regarded as a factor in the development and implementation of financial norms and standards?					
2.	To what extent can performance appraisal be regarded as a factor in ensuring effective internal and external communication on financial matters?					

Thank you for your assistance.

**Annexure 2**  
**Standard Deviation scale**

	<b>STATEMENTS</b>	<b>RESPONDENTS</b>	<b>MEAN</b>	<b>MEDIAN</b>	<b>STANDARD DEVIATION</b>
1	Q1.1.1	134	4.47	5.00	0.986
2	Q1.1.2	134	4.53	5.00	0.89
3	Q1.1.3	134	4.51	5.00	0.899
4	Q1.2.1	134	4.07	4.00	1.24
5	Q1.2.2	134	4.34	5.00	1.018
6	Q1.2.3	133	4.17	5.00	1.197
7	Q1.2.4	132	4.13	5.00	1.201
8	Q1.2.5	132	4.1	5.00	1.241
9	Q1.3.1	133	4.53	5.00	0.831
10	Q1.3.2	133	4.42	5.00	0.923
11	Q1.4.1	133	4.48	5.00	0.901
12	Q1.4.2	134	4.57	5.00	0.78
13	Q1.5	134	4.56	5.00	0.889
14	Q1.6.1	134	4.43	5.00	0.817
15	Q1.6.2	134	4.32	5.00	0.947
16	Q1.7.1	134	4.59	5.00	0.806
17	Q1.7.2	134	4.6	5.00	0.705
18	Q1.7.3	134	4.6	5.00	0.756
19	Q1.8.1	134	4.56	5.00	0.79
20	Q1.8.2	134	4.62	5.00	0.702
21	Q2.1	134	4.16	4.00	1.027
22	Q2.2	134	4.19	4.00	0.959
23	Q2.3	134	4.13	4.00	1.024
24	Q2.4	134	3.98	4.00	1.093
25	Q2.5	134	4.18	4.00	1.039
26	Q2.6	134	4.12	4.00	1.026
27	Q2.7	134	4.06	4.00	1.039
28	Q2.8	134	4.19	4.00	1.079
29	Q2.9	134	4.13	4.00	1.1
30	Q2.10	134	4.17	5.00	1.1
31	Q2.11	134	4.15	4.00	1.134
32	Q2.12	133	4.11	4.00	1.15
33	Q2.13	134	4.09	4.00	1.114
34	Q2.14	134	4.23	5.00	1.04
35	Q2.15	134	4.3	5.00	1.004
36	Q3.1	134	4.02	4.00	1.058
37	Q3.2	134	4.07	4.00	1.042

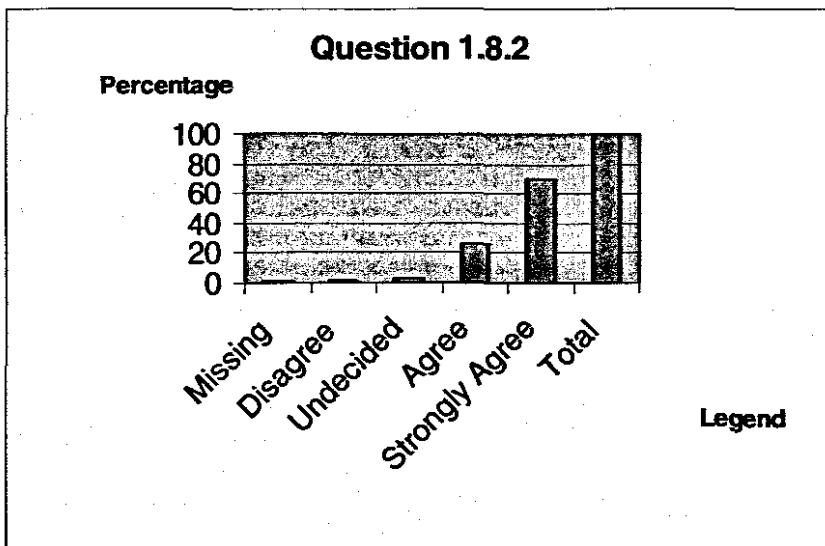
### Annexure 3 Highest Mean Score

#### Q1.8.2

N	Valid	134
	Missing	0
	Mean	4.62
	Median	5.00
	Mode	5
	Std. Deviation	.702
	Variance	.493

#### Q1.8.2

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 0	1	.7	.7	.7
2	1	.7	.7	1.5
3	4	3.0	3.0	4.5
4	35	26.1	26.1	30.6
5	93	69.4	69.4	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	



## Annexure 4 Lowest Mean Score

**Q2.4**

Q2.4

N	Valid	134
	Missing	0
Mean		3.98
Median		4.00
Mode		5
Std. Deviation		1.093
Variance		1.195

Q2.4

	Frequency	Percent	Valid Percent	Cumulative Percent
1 Strongly Disagree	5	3.7	3.7	3.7
2 Disagree	10	7.5	7.5	11.2
3 Undecided	21	15.7	15.7	26.9
4 Agree	45	33.6	33.6	60.4
5 Strongly Agree	53	39.6	39.6	100.0
<b>Total</b>	<b>134</b>	<b>100.0</b>	<b>100.0</b>	

