#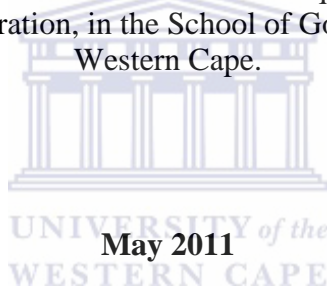 Perspectives on the implementation of the Performance Management and Development System in the Department of Social Development in Eastern Cape.

Siphiwo Seymour Makasi

A research report submitted in fulfillment of the requirements for the degree of Masters of Public Administration, in the School of Government, University of the Western Cape.

May 2011

Supervisor: Prof J.J. Williams
Co supervisor: Dr Leon G. Pretorius

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UNIVERSITY *of the*

WESTERN CAPE

DECLARATION

I hereby declare that " *Perspectives on the implementation of the Performance Management and Development System in the Department of Social Development, Eastern Cape"* is my own original work, that all reference sources have been accurately reported and acknowledged, and that this document has not previously, in its entirety or in part, been submitted to any academic institution or university to obtain an academic qualification.

Siphiwo. S. Makasi   **Date:…………**

Signature:………………

DEDICATION

I dedicate this mini-thesis to my loving family: my mom, Lulama Mabel, my son, Sinelizwi and his lovely mom, Thora for tolerating my time away from them. Without their love, patience, understanding and support I would never have come this far.

I also dedicate this mini-thesis to all the people who agreed to take part in the study, without whose support this study would have been impossible.

Lastly, this work is dedicated to all district and area offices of Department of Social Development, Eastern Cape Province, that continue to struggle with the implementation of Employees Performance Management and Development System.
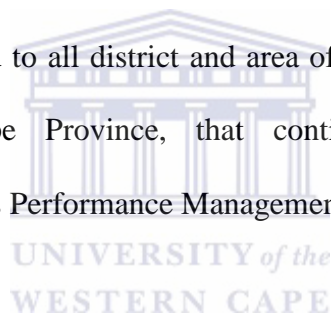
ACKNOWLEDGEMENTS

I would like to take this opportunity to thank the following people for their contribution to the successful completion of this research report:

My supervisors, P*rofessor John James Williams* and Dr Leon G. Pretorius for their time and commitment to my success, for their patience, encouragement and understanding, and for their relevant advice on all aspects of the research report.

Mr Denver A. Webb, former Head of Department of Department of Social Development for allowing me to continue with my research project. I would like to extend a special thanks to *Mr Sakhumzi Yawa,* an ex-Chief Director of Developmental Social Welfare, *Mr Gola,* former Director Human Resource Management, now a Director Strategic Planning, DSD, *Mr Marhwanqa* an HRD manager, DSD and all officials who participated in this research at District and Head Office Level.

Ms *Nosisi Dingana,* at the Department of Social Development, Western Cape Province, Population and research unit, for assisting and making requested documents available.

Miss. Bridgett Maart in the School of Government for all the support she provided.

Finally, I extend my gratitude to all those not mentioned here, for their encouragement and support in order for me to complete this research project. Any

errors of judgment and misrepresentations in this research report are mine and not those of the people mentioned here.

ABSTRACT

Perspectives on the implementation of the Performance Management and Development System in the Department of Social Development in Eastern Cape.

S.S. Makasi

MPA Research report

School of Government, University of the Western Cape.

This research report, explores the challenges contributing to a non-effective implementation of performance and development management system at the Department of Social Development in Eastern Cape. My argument is that although the system has been fully implemented throughout the province and in all the layers of the department, there are still challenges that contribute to its ineffective implementation of this system. This research report debates a range of issues such as: challenges that revolve around the lack of proper knowledge and training in staff, non-alignment of performance contracts with operations of the department, attitudes of officials towards the system itself and the desired institution's operation that may contribute to its performance and achieve its objective of effective service delivery meaningfully.

The research report also explores the paradigm shift of the department from a traditional 'welfarish' approach to a one that focuses on social development. This research especially seeks to understand how the department seeks to plan for institutional change that will promote delivery its services to communities more. The

reason for this focus derives from department is practice to provide services sectoraly and not in an integrated manner. Hence the critique, in this research is of the roles and responsibilities of all different layers of the department.

This, I specifically argue for re-orientation of the department, not merely institutionally, but also strategically by adopting a social development approach to service delivery.

KEY WORDS

Performance Management and Development System

Performance Management System

Performance Management

Performance Appraisals System

Performance Contracts

Performance Standards

Performance Agreement

Work Plan Agreement

Standard Framework Agreements

Progress Review

Performance Assessment
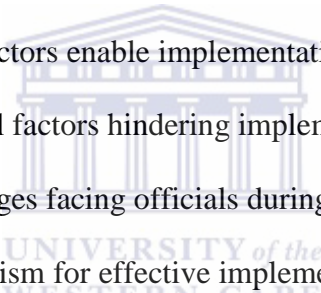
ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immuno Deficiency Syndrome
BHC	Botswana Housing Corporation
BTC	Botswana Telecommuniction Corporation
CBO	Community Base Organisation
CMC	Core Management Criteria
DPSA	Department of Public Service and Administration
DSD	Department of Social Development
EC	Eastern Cape
ECPG	Eastern Cape Provincial Government
FBO	Faith Based Organisation
HIV	Human Immuno Virus
HO	Head Office
HOD	Head of Department
HR	Human Resource
HRM	Human Resource Management
IDP	Individual Performance Plan
IGR	Intergovernmental Relation
ISDM	Integrated Service Delivery Model
IT	Information Technology
KPA	Key Performance Area
KRA	Key Result Area
LRA	Labour Relations Act
LSO	Local Service Office
METF	Medium Term Expenditure Framework

MRM	Moral Regeneration Movement
NACCW	National Council of Children's Welfare
NGO	Non Government Organisation
NPO	Non Profit Organisation
PA	Performance Agreement
PDP	Personnel Development Plan
PM	Performance Management
PMDS	Performance Management Development System
PMS	Performance Management System
PSA	Public Service Act
PSC	Public Service Commission
PSCBC	Public Sector Coordinating Bargaining Council
PSR	Public Service Regulations
SACSSP	South African Council for Social Service Profession
SAMDI	South African Management Development Institute
SASSA	South African Social Security Agency
SFA	Standard Framework Agreement
SMS	Senior Management Service
TQM	Total Quality Management

LIST OF TABLES

CHAPTER ONE

THE CHALLENGES OF IMPLEMENTING EMPLOYEES' PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

Introduction

This chapter explores perspectives on the implementation of Employee Performance Management and Development System[1] (EPMDS) at the Department of Social Development in the Eastern Cape Province. In this study, the research problem is defined as a poor performance management[2] and haphazard, adhoc implementation of EPMDS at area, district and head office levels contributed to poor service delivery.

A key research question that this research investigates is: whether or not there is an alignment of individual performance plans[3] with the operational plans of the department. The research seeks to establish to what extent the knowledge and training provided by the Human Resource Development unit in the Department of Social Development to employees contributes to the implementation of the system. It would appear, though, that the operational situation in many offices, also does not comply with the existing policy of PMDS when it comes to the implementation of the EPMDS. In most cases, it would seem, all assessment reviews are conducted only when it comes to a period of salary pay progression and merit award payment. Consequently, there is a lack of quality in assessing the performance and achieving the desired outcomes. Therefore, this research report investigates the challenges and progress made with regard to the implementation of EPMDS and the impact it has on the delivery of services for the Department of Social Development.

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[1] Employee performance management and development system is a process to manage and develop performance of employees from salary level 1 to 12 in the public sector.
[2] Poor Performance Management failure to manage performance of employees in order to achieve output and out come of the department
[3] Performance plan contains the essence of performance contract or work plan.

It must be stressed that since 2002 the Department of Social Development has been struggling with regard to Performance Management and Development System (PMDS). The PMDS was amended with effect from 1st April 2007 and became known as the Employee Performance Management and Development System (EPMDS). Accordingly, a related purpose of this thesis is to identify the challenges facing the department and to provide recommendations that can assist in its effective implementation.

Background of this study

The researcher has been active in the management and implementation of departmental policies at the local level, that is, at district and area office level where service delivery is taking place. The experiences of the researcher in the management and supervisory level contributed to experiencing non-compliance issues of service delivery and implementation of various departmental policies including EPMDS.
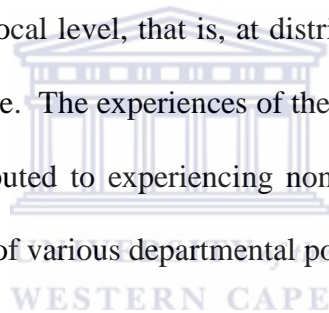
The Public Service Regulation 2001 governs the implementation of the Performance Management and Development System since 1st April 2001. However, the Department of Social Development in the Eastern Cape Province (EC) is one of the Departments that have implemented this system late, that is, only from1st April 2003. Indeed, it would seem the EC experiencing many challenges in the implementation of the EPMDS, although it has conducted training in all levels of its structures. This study is, therefore, a direct response to poor service delivery in the EC. From 2002 to 2004 the national department intervened in the EC by sending a task team to implement turn-around strategies that seek to improve the rendering of service by the department.

The haphazard operations within the department were identified by the task team as contributory factors to poor service delivery in the department. This implies that there was a huge gap in the alignment of individual performance agreement/contracts[4] with operational plans of a particular section or directorate in which an employee is based as borne out by operations. This could be observed when operational plans reviews took place. Indeed, it was difficult to identify tangible achievement by many offices.

Problem statement

Poor performance management and adhoc implementation of the EPMDS within the Department of Social Development, Eastern Cape Province, both at Provincial and District levels contributed to poor service delivery. The adhoc implementations of EPMDS seem to be a result of inadequate and inappropriate alignment of individual performance with the operational plan of the department. Service delivery in the Department is fragmented, based on individual intervention; narrowly focused on institutional care[5], and thus lacks an adequate integrated poverty eradication strategy[6]. The inadequate and inappropriate alignment of individual performance with the operational plans of the department contributed negatively in meeting strategic objectives of the department and its mandate. The strategic objectives of DSD include tackling child poverty; tackling adult and older person's poverty; youth

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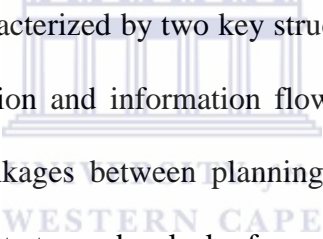
[4] Performance Agreement/Contract is an agreement between an individual employee and his/supervisor regarding the specific outputs to be achieved or produced within a particular performance cycle, and it links employees' work plans to the goals of her/component and ultimately to the institution/organisation at start of cycle as reflected in the business plan.

[5] Institutional care means provision of services within institution e.g. residential care such as children and old age home, place of safety e.t.c.

[6] Integrated poverty eradication strategy is a comprehensive approach that seeks to fight poverty through empowerment of individuals, groups and families.

development; social cohesion; sector capacity building; good governance and institutional development.

Haphazard implementation of EPMDS resulted in the national department of public service and administration allowing different departments to utilize a temporary alternative assessment instrument or tool, in order to implement a salary progression in 2002 and 2003. The performance assessment tool that was temporary utilized did not assist the department with regard to development of its staff members and feedback on performance of individuals. Therefore, it did not meet the purpose and objectives of performance assessment which was to improve the service delivery and achieve its strategic objectives effectively and efficiently.

The department has been characterized by two key structural functional inadequacies, namely (1) poor communication and information flow between district offices and head office, and (2) poor linkages between planning and implementation. These structural weaknesses contribute towards a lack of coordination and integration of the functions of external partners, hence the poor performance of individuals and the department at large vis-à-vis service delivery. Since individual performance contracts are not being reviewed as per the policy framework or guidelines, they exacerbate poor service delivery. This compromises the quality of assessing the performance of individuals and the institution.

Guiding assumptions

The key assumptions guiding this research are:

Firsly, an alignment of individual performance contracts with operational plans of the departments correlate strongly with the improvement of service delivery.

Second, the implementation of EPMDS provides a leadership and management development that encourages effective service delivery. Effective service delivery is characterized by strategic and operational plans, integrated programme management and spending, task execution, financial management and accountability, monitoring and evaluation of operational programmes. This means that the EPDMS ensures a staff cadre that is multi-skilled and responsive to the needs of the communities. These needs include social issues such as poverty, HIV/AIDS[7], substance abuse, family breakdown etc.

Thirdy, a communication channel that keeps personnel abreast of updated information and which builds trust and encourages teamwork ensures a high involvement and performance of staff in meeting Departmental objectives.
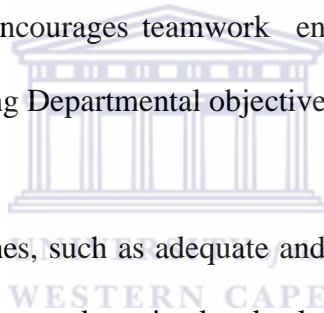
Fourth, preventative approaches, such as adequate and appropriate infrastructure and human resources at district, area and service levels also contribute positively towards meeting strategic objectives of the department.

Research objectives

The first objective of this research is to investigate the challenges facing the implementation of EPMDS, such as lack of training and knowledge of the system, by employees of the Department of Social Development. This has therefore helped the researcher to develop a set of recommendations for authorities of the department and

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[7] HIV-Human Immuno Deficiency Syndrome: the name of the virus, which attacks the immune system and leads to AIDS, Acquired Immuno Defficiency Syndrome- a syndrome that results in HIV infection.

management of various levels of the department as an option for implementation of EPMDS in order to improve service delivery.

The second objective of this research is to explore whether the department creates an enabling environment, such as the provision of resources required to ensure the implementation of the EPMDS. This will assist in providing evidence on the contribution of EPMDS in the improvement of service delivery.

The third objective is to provide a policy overview of international and local studies on EPMDS. Such a research will assist a researcher in ascertaining whether EPMDS is implemented haphazardly in the Department of Social Development in the Eastern Cape.

Lastly, the fourth objective is to determine external and internal factors that might limit or hinder the implementation of EPMDS and to suggest institutional modes to facilitate its effective implementation.

Research Methodology

This study uses both case study method and qualitative techniques of investigation. The choice of methods was influenced by the researcher's need to have, as far as possible, an authentic experience that sharpens and integrates subjective and objective view points. The combination of techniques also makes it possible to gather a wide range of factual information, opinion and perceptions. Mitchell (2000:169) states that "Case study refers to an observer's data, which is the documentation of some particular phenomenon or set of events which has been assembled with explicit end in

view of drawing theoretical conclusions from it". The rational for using the case study methodology is that it allows for an in-depth, detail understanding of a specific phenomenon with a bounded system.

Guba et al (1994) states that case studies can be either quantitative or qualitative in nature. Hence, this study uses qualitative techniques of investigation. These techniques include in-depth interviews, participatory observation, policy documents analysis and structured questionnaires. The interview approach provides a greater spectrum of responses and greater insight into respondents or participant so as to avoid the hierarchical pitfalls. It further encourages the respondents to control the sequencing and the language of the interview and also allows them the freedom of open-ended responses. Interviews were conducted with senior officials at head office level, especially those who have overall responsibility for the implementation of policies, including EPMDS, in their directorates. Interviews were also conducted with a manager responsible for championing and driving the implementation of EPMDS in the entire department.

Participatory observation was used to supplement the interview data by participating in the performance assessment panels at district and area level, attending district management and provincial extended management meetings, including a workshop on EPMDS and operational plan reviews. The public and policy documents and guidelines were used to develop a clear understanding of the roles and responsibilities of all role players involved in the EPMDS at all levels of the department.

Survey questionnaires were designed to be user- friendly. The same survey questionnaires were used for interviews with senior managers and were distributed amongst seven district offices of the Department of Social Development Eastern Cape in order to test the research assumptions. These district offices are Amathole, Cacadu, Chris Hani, O.R.Thambo, Ukhahlamba, Alfred Ndzo and Nelson Mandela Metropolitan. (see map below)

Table:1 Map for Eastern Cape District Municipalities
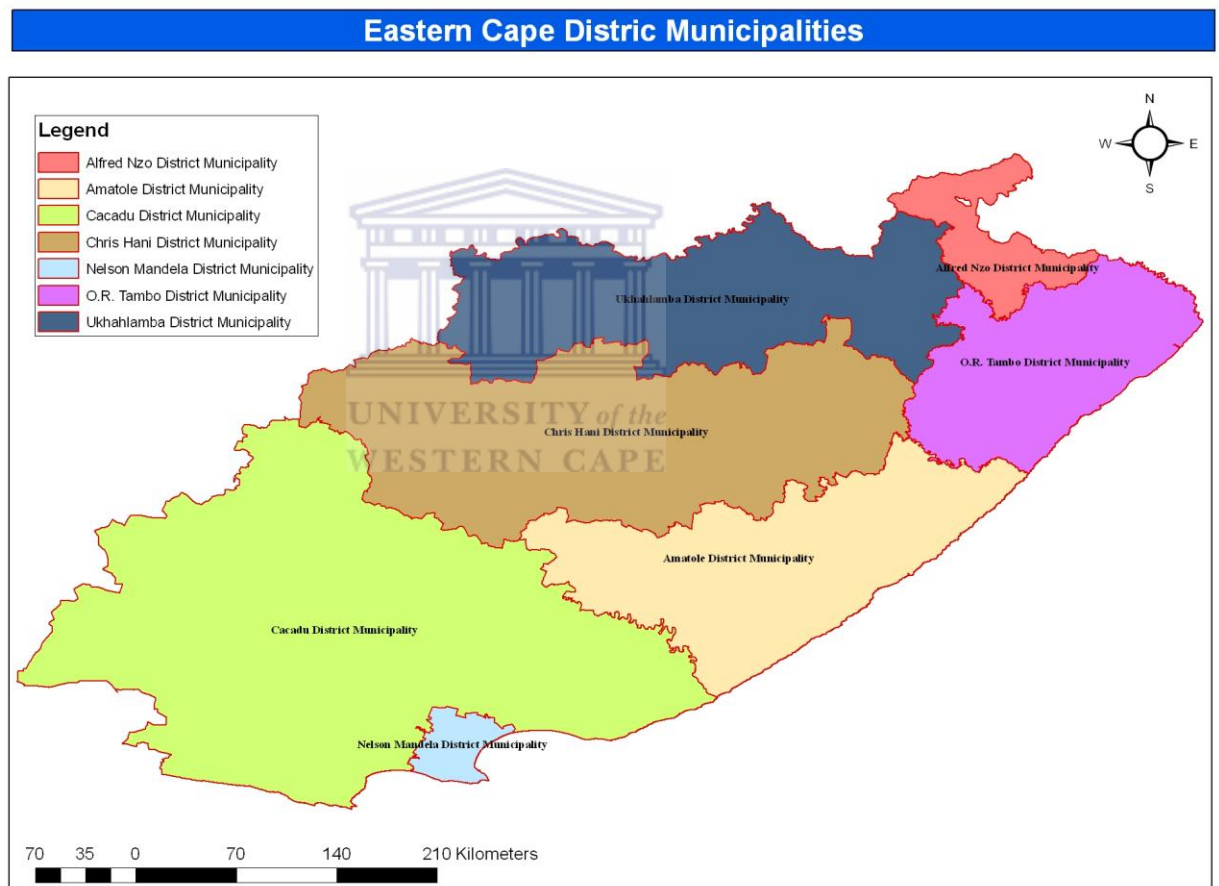
Source: Census 2001, Province and Municipality Boundaries

The questionnaires were distributed randomly amongst officials at the level of management (i.e. supervisors, assistant managers and managers) and junior officials, such as administration and professional staff who are not supervisors, in order to test

the research assumptions. The rationale for this was that everybody has a responsibility in the implementation of performance management since it is a reciprocal process, hence everybody's input and experience in the implementation of EPMDS is important for the study. The collection and analysis of data is based on these interviews and returned questionnaires.

Significance of the study

This study is based on two considerations: firstly, an effective implementation of EPMDS contributes towards a leadership and management development that encourages best service practices and performance. Secondly, an alignment of individual performance agreements with operational plans makes it possible for the proper institutional coordination of sectoral functions to manage, monitor and evaluate departmental operations and programmes to ensure the improvement of service delivery.
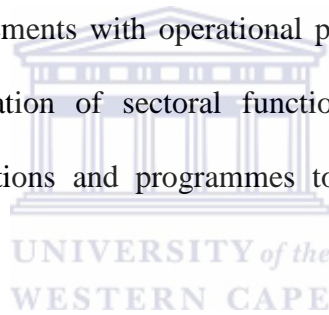
The study provides the management of the department at both provincial and district level with internal and external challenges and factors that limit or hinder the effective implementation of EPMDS. The research has the possibility and potential of empowering role-players in the department with strategies to deal with challenges affecting implementation of the system and service delivery, and, therefore, promoting the effective implementation of EPMDS. It is imperative to note that the EPMDS is developmental in nature; the staff involved in the system is able to receive positive feedback or to identify the areas for improvement rather than being involved in the system only when rewards in the form of salary pay progression and merit awards have to be provided.

The research also has the significance of ensuring proper coordination and strengthening planning and implementation, especially with regards to its operation at provincial and district level. It improves communication thereby, facilitating interaction and thus contributing to good management of performance within the department.

Structure of study

This study comprises the following chapters:

Chapter One

This chapter sets out the scope of the study through the identification of research problem, objectives, policy perspectives and research methodology, significance of the study and description of the major concepts.

Chapter two

This chapter looks at the policy context of the research study with a special focus on competing perspective on performance management, policy implementation and review of relevant literature.

Chapter three

This chapter investigates the Employee Performance Management and Development system in the Department of Social Development Eastern Cape Province in relation to service delivery, desired state of the department, integrated service delivery model and the different levels of service delivery.

Chapter four

This chapter presents the analysis of the collected data.

Chapter five

This chapter provides conclusions and recommendations

CHAPTER TWO

**COMPETING PERSPECTIVES ON PERFOMANCE MANAGEMENT
SYSTEM: A THEORY AND LITERATURE SURVEY**

Introduction

This chapter locates previous studies on performance management within the EPMDS

of the Department of social development. The literature review helps the writer to

continue with the work started by other writers in ensuring that the gaps identified by

previous writers are dealt with.   First, this chapter focuses on understanding the

performance management system and the implementation of policies in the public

sector.   Second, this chapter provides an analysis of the importance of performance

management which is provided by previous researchers with specific reference to the

effectiveness of the tools utilized to make them useful in different organizations or

institutions.

Policy Perspectives

The Employee Performance Management and Development System (EPMDS) has

been designed by the Department of Public Service and Administration (DPSA) as a

voluntary system to assist with the performance management of employees on salary

levels 1 to 12 in the departments and provinces that choose to adopt the system.   This

amended system became effective on 1st April 2007.   Therefore, it is a framework for

performance management that applies to all employees in the Department on salary

levels 1 to 12, for those departments that have been formally adapted and appointed in

terms of the Public Service Act, 1994.   While it shares similarities and must be linked

with the SMS PMDS, it is a distinct policy framework and system (DPSA: 2007:9).

The performance agreement is the cornerstone of performance management at the individual level. All employees must enter into, and sign, performance agreements before the end of the first quarter of the new cycle. The departmental and component performance measures should inform the development of the individual employee's PA. The PA format applies to all levels in the department and the contents must reflect the department's strategic and annual operational plan, component business plans and the employee's job description, job role and actual activities and responsibilities.

The performance management at the employment level is a reciprocal process between the supervisee and her/his supervisor, in which both parties have a responsibility in ensuring that an individual performance assessment is executed. This means that a face-to-face on-going communication is an essential requirement of the process and covers the full performance cycle. During the process individuals received a developmental feedback on his/her performance. Therefore, for effectiveness of operation the cycle is divided into integrated phases or elements of performance planning, performance monitoring, development and control, performance assessment or appraisal[8] and managing the outcomes of assessment. The performance cycle lasts for a 12-month period during which performance is planned, executed and assessed. It must be aligned to the same period as the Department's annual business plan i.e 1st April to 31st March of the following year. A 12-month cycle is also linked to the financial year for the purpose of planning, salary pay progression and other performance related incentives such as performance awards or

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[8] Performance appraisal is an annual assessment of performance focused on managing individual performance

cash bonuses. The probation cycle, however, is linked to the appointment date of the jobholder.

Implementation of public policy

There are many studies that have been conducted around the issue of the Performance Management System. However, few have been conducted within the public sector on its implementation. The latter has to be looked at within the perspective of policy context, as it is a particular policy framework that guides performance management of departments at national and provincial levels. Howlett, et al (2009) stated that the implementation of public policy was often regarded as unproblematic until the early 1970s, despite the availability of large, century-old literatures in public administration, organizational behaviour, and management concerned with effective execution of government decisions. In my view the implementation of any policy has its own challenges that need to be dealt with to ensure that what was intended with the policy is achieved. The structures and processes that institutions put in place also contribute either positively or negatively to the expected results. According to Howlett, et al (2009) many policy researchers ignored or downplayed the political pitfalls and dynamics arising at this stage in the policy cycle, assuming that once a policy decision was made, the administrative arm of government would simply carry it out. This notion or understanding supports the argument of Hill and Peter (2009:9) when they argue: *" A great deal of implementation literature is about the extent to which policy-makers have successfully grappled with the question whether their policies have been properly designed to address the problems they were alleged to address".*

As the implementation of policy is a result of an attempt to address a particular problem or achieve certain outcomes so that it contributes to institutional performance and objectives, it is also imperative to do evaluation research in determining the relevance of the policy. Hill et al (2009:9) argue that, *"for implementation research, dependent variables maybe outputs or outcomes, after the implementation process, but where they are the latter it is particularly important to identify influences that are quite independent of that process".* When policy implementation does not produce the expected result or required outputs[9] or outcomes it is normal for people to conclude by saying the policy is not working, instead of looking at the implementation failure holistically or evaluate the process. This is in line with the description of implementation failure or deficit by Hill, et al (2009:11) *"giving a normative qualification as a result of a comparison between what is observed and what is expected, where the latter is defined in terms of the values either of observer or of one or more of actors involved in the process"* .
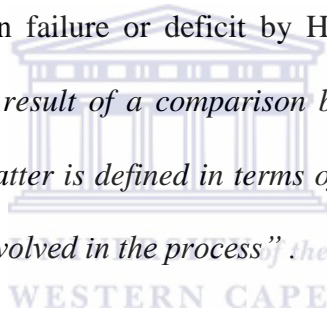
 According to Howlett et al (2009:163), the view of unproblematic implementation of public policy began to change through policy sciences, with the publication of Pressman and Wildavsky's 1973 work on program implementation. Pressmen and Wildavsky's study of US federal programs for unemployed inner-city residents of Oakland, California, showed that job creation programs were not actually being carried out in the manner anticipated by policy-makers. Other studies confirmed that the Social programs instituted by the Johnson Administration (1963-8) in the US were not achieving their intended objectives and argued that the problem was rooted in the

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[9] Output means a concrete achievement that contributes to the achievement of a longer-term outcome or goal.

manner in which they were implemented and research in other countries arrived at similar conclusions. The upshot of all these studies was a more systematic effort in the 1980s to understand the factors that influenced public policy implementation. It is imperative to take cognisance of the factors that have an impact on the implementation of public policy within various institutions and of challenges facing the policy.

The Provincial Administration of the Eastern Cape in 2003, however, developed a Performance Management and Development handbook in order to assist its department with a guide to Performance Management and Development. The purpose of this guide is to adjust the principles and framework of performance management for the Eastern Cape Provincial Government (ECPG). It has been designed to provide policy measures and a practical guideline for the improvement of departmental and individual's performance and service delivery. This adjustment has been done in compliance with Chapter 1, part VIII of the Public Service Regulations (PSR) of 2001. The PSR requires each executing authority to determine a system for performance management and development for employees in her or his department. The Senior Management System employees are excluded in the EPMDS as they are utilizing different tools within PMDS. It is imperative to understand that as from 1st July 1999, the new public service management framework was developed and implemented. In addition, it is important also to note that all departmental activities are informed by legislation such as the Public Service Act, 1994, the Public Service regulations, 1999/2001, various White Papers and collective agreements concluded by bargaining councils in the Public Service.

The Public service regulations of 2001 serve as a primary guide to various departments in developing and implementing their departmental performance management systems. The Department of Public Service and Administration (DPSA) also provided guidance through a Performance Management handbook and learning sessions and SAMDI, also provided training as one of several training providers.

Hill et al (2009) assert that implementation research has grown to what can be seen as a sub-discipline, developed particularly within the disciplines of political science and public administration. In the past thirty years, the field has flourished, but disappointment has been expressed about the low degree of theoretical coherence and lack of cumulative effect from the undertaken research. John (1998:30) argues that *"While the concept of implementation remains useful as a conceptual tool to understand the failure and success of policy, the project of creating implementation analysis as a separate field of study has largely failed".* The implementation of policy necessitates the researcher to conduct more studies in the field of implementation policy so as to identify the challenges experienced by implementers at all levels of the institution. However, the process for implementation of policies needs to be aligned with current best practices of operations in the Department such planning and MTSF.

According to O'Toole (in Hill, et al, 2009;12) *" Theory and research on public policy implementation concern the development of systematic knowledge regarding what emerges, or is induced as actors deal with a policy problem".* The departmental policy framework and the system also holistically provide for, and include the senior management that is able to influence policy changes when any failure occurs during this stage. Therefore, it is not wise to think that once a policy has been designed, it

will just be automatically implemented without any challenges. The Government's intention for introducing the Performance Management and Development System (PMDS) in the public sector is to ensure it delivers on set and agreed plans, improves and sustains productivity at all levels, and inculcates a culture of performance, accountability and focuses on results or outputs. It is therefore evident that implementation of Performance management and Development system as a policy can be associated with implementation of public policy, as Jenkins (in Howlett, et al, 2009:6) defines public policy as *"a set of interrelated decisions taken by political actors or a group of actors concerning the selection of goals and the means of achieving them within a specified situation within the power of these actors to achieve"*. It has been realized that the public service needs a holistic and sustainable approach to improve productivity, manage performance and achieve set goals and objective.
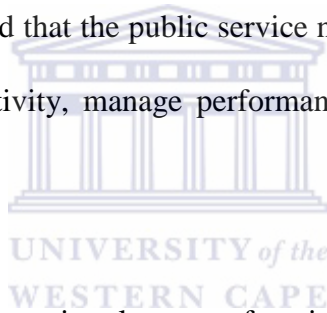
The department must assess its entire placement function including planning, staffing, development, compensation and support system for employee relations. Kirkpatrick (1978) asserts that an effective performance review program can be one of the best sources of supervisory training needs, mainly due to the fact that a manager and a supervisor spend a considerable amount of time in looking at and analyzing performance problems.

There are various international case studies that focus on performance management. For example the governmental institutions that use the system are New Zealand Public Service, the United States Federal Government and the US Postal Service. The New Zealand public service is a model public service which has influenced many

countries to start the process in their respective governments, and has fully employed the system supported by a Performance and Results Act of 1993. The United States Federal Government was motivated by the New Zealand successes in implementation of performance management system. Many world leading companies (Fortune 500) have used and continue to use the system, to maintain or improve their competitive advantage in the marketplace. In Botswana there two major parastatal organizations that have introduced the system in their operations. According to the South Africa Public Service Commission report (2007), the Botswana Telecommunications Corporation (BTC) started in 2001 and its successes have continually been covered by our local media. Botswana Housing Corporation (BHC) started in the year 2002, and has already turned the corner in terms of efficiency and service delivery. Therefore, the Department of Social Development can learn lessons on strategies used by BHC in improving service delivery, as established in chapter one that the ineffective implementation of EPMDS contributed to poor service delivery.
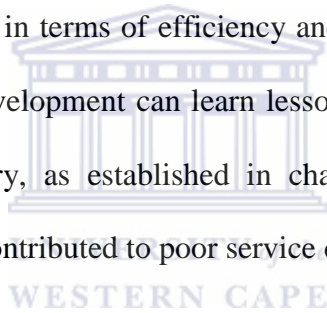
With Hazardline Chemicals Ltd, a survey revealed a task-orientated culture in which employees felt disconnected from the business, people management skills were undervalued and underdeveloped, and decisions were taken at high level. The holding company initiated a performance improvement strategy, based on a new performance management system. The new system aimed at achieving better communication of company objectives; developing individuals to help them agree on targets, and fostering closer relations between staff and line managers. Nel et al (2001) argues that the goal of the new performance system is to offer benefits to all individual staff members, such as a clear understanding of the job, a basis for regular discussion of

tasks, agreement on developmental needs, feedback on performance and adding *value* to both the employees' work-life and the organization as a whole.

According to Sloman (1997:167) performance management systems are considered to be operating when the conditions, such as a vision of objectives, is communicated to employees. It is also important that Department set individual's performance targets with wider objectives. A formal review of progress towards targets should also be conducted and the whole process should be evaluated to improve effectiveness. It is therefore, important that there is a total alignment of performance contracts with the vision of the department through its strategic plan. This implies that all individuals should be in a position to deliver according to the plans of the department, increase performance and accountability, and improve service delivery.
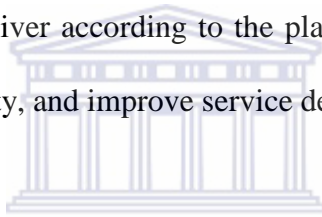
The introduction of the performance management system provides an opportunity for individuals at various levels to learn new skills and techniques to perform their obligations effectively and produce expected results. Managers and supervisors require a new set of skills and styles of management to effectively lead the change process. All employees require innovation and team work tools to collectively achieve their objectives and promote a culture of continuous improvement to sustain the performance improvement effort.

Everybody becomes a change agent and thus requires certain skills and techniques to do their best. This is supported by the argument of Mond (1995:515), who says that *"Evaluation of performances consists of checking for deviation from standards determining if the deviation exceed control tolerances. Basically, this evaluation*

process involves observing and measuring performances. Evaluation requires accurate measurement of what is taking place and an effective measurement of comparison with standard. Managers must realize that both problem and opportunities can be discovered during this phase". This implies that all the role-players must take responsibility in ensuring that performance management measures are in place. The role of all responsible officials will be highlighted since the EPMDS is reciprocal in nature meaning that both supervisor and supervisee have responsibility to take initiative when it comes to performance reviews or assessment. During an evaluation all parties must be able to see a progress and achievement made in the effective implementation of EPMDS.

According to Nel et al (1999) there are generally three major elements that underpin performance management. The elements include a process for strategy implementation, a vehicle for cultural change and input to other human resources systems, such as development and remuneration. As can be noted from these arguments perhaps there is a need to have a common understanding of PMDS as different authors put this differently. Some authors such as Smith et al (2007) term this system as performance appraisal. A performance appraisal is a formal and systematic measurement and evaluation of job performance. It involves observing workers' behavior and measuring that behavior in accordance with certain standards.

The performance appraisal is in control to promote the staffing function. It provides feedback needed to evaluate the effectiveness of recruitment and selection. It also identifies individuals who are trainable and those who already have the skills to meet current and future job requirements. Wayne & Mandy (1995:292) argue that *"the*

main contribution of the performance appraisal process may be helping to create work environments in which managers and subordinates set objectives, monitor results and formally evaluate success against predetermined standards. A good performance appraisal process ensures improved communication throughout the organization, however it is vital that managers realize employee evaluation is a continuous process rather than an event that happens once a year" Therefore, the effective implementation of EPMDS is critical and necessary for the performance of the department of social development in EC. The continuous evaluation performance of employees contributes to an increase in the performance of Department and resulting in improving service delivery.

Carrell, et al (1997: 67) argue that a performance appraisal is the ongoing process of evaluating and managing both the behaviour and outcomes in the workplace. Organizations use various terms to describe this process, for instance, performance review, annual appraisals, performance evaluation[10], employees' evaluation and merit evaluation. Thus, Performance Management is a broader term than performance appraisal, and became popular in 1980s as total quality management (TQM) programmes emphasized using all the management tools, including performance appraisals to ensure the achievement of performance goals. The tool such as reward systems and job design performance also contribute to creating or developing positive attitudes amongst employees.

According to Steve et al (2009) the USA study in 2008, the number one desire of Human Resource executives was to design performance management systems to

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[10] Performance evaluation examines program outputs rather than inputs.

achieve business goals. Companies were interested in finding ways to get their strategic goals implemented at lower levels in the organization, especially with emphasis on TQM, as well as pushing decision-making and responsibility further down in the organizational hierarchy. Howlett et al (2009:160 remind us that *"Once the direction and goals of policy are officially decided, the number and type of actors involved begin to expand beyond the small subset of actors making policy decisions to encompass the policy universe of interested actors. Policy sub-systems then become important contributors to implementation as their participants apply knowledge and values to shaping the launch and evolution of programs implementing policy decisions. Usually, however, only a narrow range of subsystem actors become involved in the implementation process".* In a nutshell the direction and the achievement of expected institutional or department's performance depends on the role-players involved in the implementation of any policy. The various business units or directorates have a huge responsibility in ensuring the effective implementation of EPMDS policy framework for good performance of the DSD.

A guide to performance management and development 2003, Eastern Cape Provincial Government described performance management as a process of harnessing all available resources within an organization and ensuring that these perform to the maximum, in order to achieve the desired results. The performance management involves building processes, systems, culture and relationships that facilitate the achievement of organizational objectives; it is therefore aimed at both individual and organizational performance. This is in agreement with the argument of Bache and Flinders (2001) when they say that different bureaucratic agencies at various levels of government (national, state or provincial, and local) are usually involved in

implementing a policy, each carrying particular interests, ambitions, and traditions that affect the implementation process and shape its outcomes, in the process of multi-level government or governance.

The Public Service Regulation of the Republic of South Africa requires government departments to develop Performance Management systems in order to manage performance in a consultative, supportive and non-discriminatory manner. Howlett et al (2009:10) stress that *"Policy outcomes are seen as being shaped by the structures within which these actors operate and the ideas they hold, forces that also have affected earlier policies and related decisions in previous iterations of policy-making processes"*. The policy outcomes should result in enhancing organizational efficiency and effectiveness, accountability for the use of resources and achievement of results. The primary orientation of performance management is developmental but must allow for effective response to consistent inadequate performance and for recognizing outstanding performance. Performance management procedures should minimize the administrative burden on supervision while maintaining transparency and administrative justice.

The PMS focuses on equal participation in performance management by the supervision and the supervisee. It is developmental oriented, encourages coaching, regular feedback through progress review[11] and annual appraisals in order to effectively and efficiently deliver on a Department's strategic goals and Provincial or Government priorities. This system is a means to an end, and its success will be

measured by the extent to which it contributes towards creating conditions for effective performance and overall contribution to service delivery. It is no surprise that companies with a strong business performance are also companies with strong employee performance programmes, particularly when there is an alignment in individual performance contracts. This is in line with the findings reported in 2008 by the 2007 State of Performance Study conducted by World-at-Work and Sibson Consulting of USA which surveyed more than 550 human resource professionals. The study found that performance management techniques for both the effective and less effective organizations are not very different. The greatest difference is the level of active leadership support and championing of the process. This study revealed that *"the organizations getting the most impact from performance management are those that have a strong leadership support and that execute well in differentiating performance and giving performance message".* It is therefore, essential that the DSD must have a strong leadership in driving the strategies and taking initiative and ensuring full compliance with policy frameworks. As established in the previous chapter implementation of EPMDS provides a leadership and management development that encourages effective service delivery.

Another study, in UK the 2007, Towers Perrin Reward Challenges and Changes Survey which collected data from over 600 companies in 21 countries, reports that effective performance management is fully aligned with business strategy. Although, this was reported, as many as about 43% of respondents stated their performance management did not link to the business needs.

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[11] Progress review is a structure and formal process in which an employee receives feedback on his/her performance, thereby providing an opportunity for improvement before the annual review takes place and its provide an opportunity for written amendment of performance agreement.

However, the study cautioned that these are critical strategic gaps that will ultimately derail the very purpose of performance management. Therefore it is imperative and essential in the implementation of EPMDS to ensure that performance contracts of all individuals are aligned and linked with operational and strategic plans of the department.

Research conducted by the Institute for Corporate Productivity (formerly the Human Research Institute) in 2008 indicates that there are several well-defined steps that can make performance management an effective process in any organization. Their study, *Finding the Keys to Performance Management: A Study of Current Trends and Future Possibilities* surveyed more than 1000 human resource professionals representing various industries and company sizes. The study found nine key practices for effective performance management. The key practices for effective PMS include: constructions of developmental plans for the future; training provided to managers on how to conduct a performance evaluation meeting; the quality of performance appraisal measured; a system in place to address and resolve poor performance; the performance appraisal to include information other than that based on judgment of managers; the performance review consistent across the organization; employees expect feedback on their performance more than once a year; 360 reviews are used to support the performance evaluation process and the performance management process includes ongoing goal review and feedback from managers. (Hiethfield: 2007: 1 December)

The research team also found that, it is not necessary to have all nine key practices; however the more practices an organization implements, the more effective the

programme. It does not matter which of the nine practices are implemented as much as how many are implemented. In addition the order of implementation does not have any significant impact. From this it is evident that a consistency regarding the key practices for effective implementation of PMS is needed. The inconsistence of key practices in implementation of EPMDS in the DSD seems to be lacking and unless that is addressed there can be no effective implementation of EPMDS.

There are various studies on PMS that were conducted in South Africa. For example Grobler et al (2002:260), argue that despite the enthusiasm regarding performance management by various companies, a comprehensive survey of nine leading South African organizations undertaken by the University of Stellenbosch Business School, recently revealed a rather bleak picture on the way employee's performance is managed and rewarded in South Africa. The survey identified major problems which include the existence of a rather negative working culture, that is, the behaviour of personnel. Changes in corporate strategy did not result in corresponding behaviour changes, and insufficient line management support for performance management was evident. Concerning the periodic and formal performance reviews the following became apparent: lack of follow-up of performance reviews, over emphasis on the appraisal aspects at the expense of development, inadequate performance information and inadequate maintained objectivity.

In a separate study undertaken in 2006 among companies in South Africa, it appears that more than 60% of organizations interviewed did not have a formal performance management system. All these surveys indicate despite existing challenges and non-compliance the existence of a good performance review and proper implementation

can be of great value to the organizations, the departments and individuals. Indeed, there has been also an assumption that the DSD is experiencing challenges that hinder the effective implementation of EPMDS which need to be identified. However, despite any challenges there is still a greater need to ensure that there is an effective implementation of EPMDS for the good performance in the department. The recommendation from this research will assist the DSD in addressing the problem of poor service delivery.

Research conducted by the Public Service Commission (PSC) in 2007 on the implementation of PMDS for Senior Managers in twelve (12) provincial departments during financial year 2006/07 revealed that, implementation of PMDS and Performance Agreements (PAs) was unsatisfactory. A common challenge was that the PAs did not distinguish between the Key Result Areas (KRA)[12] and the Core Management Criteria (CMC)[13]. The implementation of PMDS was unsatisfactory, with performance reviews and appraisals not being conducted as required. Some of the reviews were conducted during, or at the end of the year. The PMDS documents were not properly managed in most departments leading to instances where original copies of signed PAs were kept by individual SMS members. In addition minutes of moderating committees established for the purpose of assessing the performance of SMS were not kept. A key concern identified at SMS level is non-compliance. The SMS level is where compliance is expected as it is the level responsible for compilation of strategic plan of the department. The failure by the SMS in complying with the implementation of PMDS will mean that there is no compliance at middle

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[12] Key Results Areas (KRA) are those areas on which the majority of time and effort of individual should be spent and KRA of the posts required to be define in the job description.
[13] Core Management Criteria (CMC) comprises of a competency framework in the sense of set of generic management competences applicable to all employees in the SMS.

management level, cascading down to the operational level. This is because no official at senior management can sign a performance contract with their supervisee when they have not signed with their supervisor first. Hence there is a greater need for the alignment of all performance contracts of employees with the strategic and operational plans of the department.

In North West province, the PSC conducted a similar study in 2007 on the implementation of PMDS for Senior Managers in all the eleven (11) provincial departments during the 2007/08 financial year. The research revealed that the implementation of PMDS was better than in the Eastern Cape Province. In the North West Province, a common challenge was that the PAs did not adhere to Chapter 4 of the SMS handbook, in that they did not reflect the applicable Batho Pele Principles against KRAs and the CMC's were in the same instances as high as 100%. Most of PAs of SMS members were signed after 30 April 2007. About 92% of PAs analyzed by PSC were found not to have identified the mediator as required by the PMDS. The inclusion of personal development plans (PDPs) in the PAs of Senior Managers are compulsory but to those analyzed were not always included. From the literature review it became clear that the department needed to adhere to the key practices for effective PMS in ensuring the effective implementation of EPMDS. It is important to note also that in implementing a policy framework there are certain challenges. Despite those challenges the implementation of EPMDS is good for the performance of the department. The non-compliance from SMS employees that resulted in an unsatisfactory implementation in the EC all provincial departments confirms that the DSD itself is experiencing challenges regarding the EPMDS. The insufficient knowledge on performance management from the employees also might have been a

contributory factor in a non-effective implementation. The lack of knowledge has an influence in poorly constructed performance contracts that are also not aligned to the plans of the department.

Chapter summary

The chapter highlighted the challenges in implementing public policy by looking at the previous studies conducted locally and internationally. These challenges include the existence of rather negative working; behaviour of insufficient line management support for performance management and insufficient personnel and resources. The study provides an understanding of performance management system by which employees contribute to the performance of a particular institution. Lastly, the study also identified various key practices for effective performance management.

The next chapter takes a closer look at the kind of services the department of social development EC is providing and integrated strategic framework towards social development approach.

CHAPTER 3

IMPROVING SERVICE DELIVERY THROUGH   AN INTEGRATED APPROACH

Introduction

This chapter provides a background to the kind of services the department of Social Development EC has been providing throughout the past 16 years and the current shift to social development. The ideal state of the department, which is desired, is indeed highlighted through its services.

Background on service delivery

The department of social development EC was created in 1994 to promote services such as protection of families and children as per the Constitution of Republic of South Africa. However, the department faced many challenges such as fragmentation, based on individual intervention, narrowly focussed on institutional care, and lack of an adequate integrated poverty eradication strategy. It was further characterised by the improper coordination and evaluation of operations within the Department, both at Provincial and district level that resulted in poor service delivery within the department. The inadequate and inappropriate infrastructure and human resources at district office; area office (Local Service Centres) and service offices (Community Development Centres) also contributed negatively towards meeting the strategic objectives and mandate of the Department.

Furthermore, the Department has been characterized by poor communication and information flow between district offices and head office that resulted also in poor linkages between planning and implementation.   The lack of coordination and integration with external partners is contributing negatively toward the performance of individuals at large.

The Department has recently re-orientated from a 'welfarish'[14] to a social development approach to service delivery, which primarily focuses on the eradication of poverty. The approach is guided by the principles of community participation, accessible information, holistic intervention, baseline data to inform planning and partnerships. These principles suggest an ideal approach to service delivery as suggested here below.

Desired state of the department of social development

With the view to promote effective service to diverse communities the department requires a leadership and management development that encourages world-class practice and performance, i.e. strategic plans, integrated programme management, programme spending, task execution, financial management and accountability. It needs district coordination that manages, monitors and evaluates the operations and programmes of the Department rendered at district level and a staff cadre that is multi-skilled and responsive to the needs of the communities, such as poverty, HIV, substance abuse, drug abuse, abuse of the elderly, family breakdown, etc. The department needs to avoid the negative result as per the argument of Armstrong (2000: 91) who said "Poor *performance may be as a result of inadequate leadership, bad management or defective systems of work and all are probably the result of a failure of whoever is at the top of the organisation to establish well defined and unequivocal expectations for superior performance"*. As it has been established in chapter 2, that the implementation of EPMDS at SMS level in the Eastern Cape Province was unsatisfactory and this is associated with a lack of leadership. This shows that once top management fail to implement policy framework such as EPMDS effectively the department will experience a poor performance and poor service delivery.

Accordingly, it is suggested that the department needs a communication strategy that keeps personnel abreast of updated information, which builds trust and encourages teamwork. It needs a high involvement and performance of staff in meeting the objective of the organisation using the Batho Pele principles around service delivery.

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[14] Welfarish approach refers to a nature of service delivery which involves elements of handout and dependency in provision of welfare service and characterize with lack of empowerment to client

The department must be an institution that can be innovative in addressing issues like access and customer dignity through a tailored package of services that addresses the holistic needs of the communities. This is in agreement with the argument of Armstrong (2000: 99) when he says that "*A good organisation will at all times endeavour to ensure that its employees achieve and maintain a high standard of performance in their work. It will ensure that standards are established, performance is monitored, and employees are given appropriate training and support to meet these standards*". It must be the department which is responsible for partnership collaboration and the facilitation of shared resources and integrated programming, i.e. NGOs, community participation and cluster coordination. The infrastructure planning and development should promote the facilitation of services rendered in a dignified matter to both clients and personnel. It is for these reasons that there is a need for integrated service development framework and shift towards social development as indicated in the sections here below.

Integrated service delivery framework

According to the Integrated Service Delivery Model (ISDM)[15], a developmental framework, such as district development framework demands that, service delivered must be intersectoral and integrated between the various departments, sectors, civil societies, communities, groups and individuals. The integrated service delivery framework in this department needs to be established on three levels, which include helping the Department to make the paradigm shift to a social development approach[16]; a reconfiguration of how the Department interacts with the public, which we call the front-office and a redesign of the Department's administrative functions. As a result of the integrated framework external and internal factors contribute to the implementation of EPMDS either negatively or positively. The major role-players and stakeholders of the department come into play and more resource programme need to be implemented to impact on the implementation of EPMDS.

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receiving such services.

[15] Integrated Service Delivery Model (ISDM) a developmental framework that demand services delivered to be inter-sectoral and integrated amongst all relevant role-players.

[16] Social development approach refers to a process of planned social change designed to promote the well-being of the population as a whole in conjunction with a dynamic process of economic development.

Shifting Towards Social Development

The White Paper on Social Welfare (1997: 4) defined the objectives of social welfare as the promotion of the wellbeing of individuals, households and communities, and the provision of enabling environments for poverty alleviation and sustainable social development. The White Paper requires the Department to undergo a fundamental paradigm shift from acting as a provider of services to a facilitator of service provision, in view of the high rate of dependence of beneficiaries on the social security system with an extremely limited exit from the system. This lack of community self-reliance is a reflection of the failure of the overall system to address poverty and the negative social conditions affecting the lives of individuals, households and communities in a sustainable manner. These social problems are partly derived from a low financial sustainability and coverage of direct interventions and direct transfers in a context of limited resources and capacity to extend interventions and transfers to all eligible individuals, households and groups. Changing the existing departmental operations requires a reconfiguration of the Department.

The shift requires the reconfiguration of the Department.

According to the District Development Model, DSD EC (2010), it is suggested to effect a reconfiguration of the Department. It has to focus on the social development approach to service delivery, and ensure that the integration of services both internal and external to the Department are given priority in all its programmes. The staff of the department should be re-orientated from their current provision of largely individualised counselling and referral services, to the provision of group and community facilitation and development management services, increasingly utilising planned programming rather than project approaches.

Related suggestions in that can be made in this regard include: the provision of community development facilitation skills to staff members   need to be linked to curriculum redesign in institutions providing future social and community development workers. The department needs to ensure that staff members are increasing and field workers are engaged in development facilitation and preventative

work rather than act as office-based and reactive counsellors. This implies that the administrative burden on officials at area office level is reduced by centralising administrative processes, enabling them to focus on service delivery; and changing the profile of area offices from centres of administration to centres of service delivery.

However, such a reconfiguration is also premised on the existence or creation of new institutional arrangements to absorb the necessary transactional and administrative functions, including social and NGO/NPO grant administration and back office human resource, financial, information, asset, record and other management requirements.

Delivery through an Integrated Service Delivery Framework

The integrated service delivery platform provides for sustained improvement of the delivery of services to people through a more comprehensive approach in which services are tailored to meet their needs holistically rather than in the current fragmented manner. Table 2, here below, captures these suggestions. The emphasis is on the provision of services in a customer-centric manner that includes better access, greater coverage and the multiple linkage and provision of services through a range of delivery vehicles.

Table: 2. Integrated Client-centric Service Delivery Framework
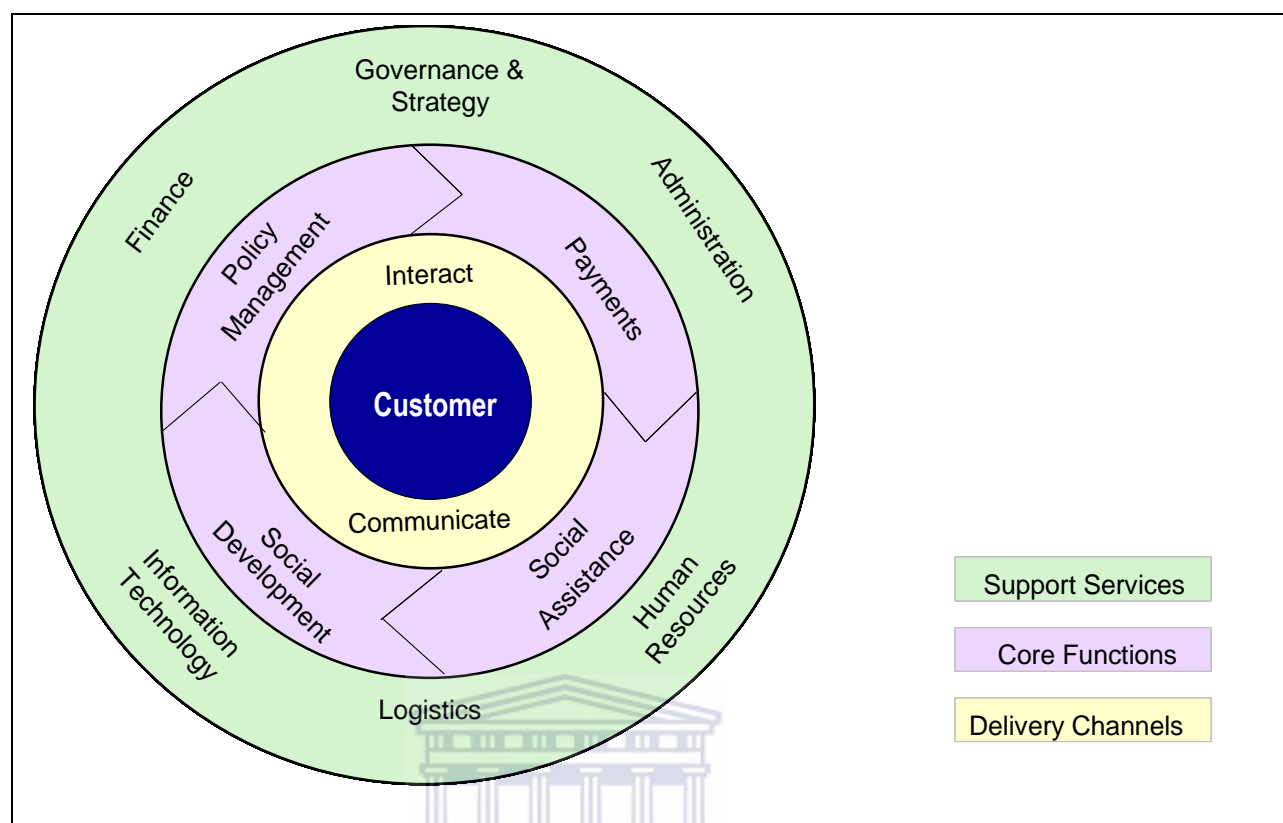
Source: Author's own research, 2010

This diagram illustrates an approach that the department of Social Development needs to employ to ensure that it penetrates the deep rural areas and be innovative. Innovative planning means amongst other issues, working with schools, make use of mobile service units, employ cellular technology, utilise radio, place advertisements in taxis, etc., to reach the most disadvantaged people. Most importantly, it means collaborating with other community-based institutions. In other words, if the Department wants to increase its outreach, it will need to work increasingly through partner organisations.

According to DSD EC, District Development Framework (2010), the implementation of an integrated service delivery framework requires emphasizing the core functions of the Department. Core services would reflect the shift towards social development and the need for an integrated approach to service provision. Critical to such a differentiation is the need for baseline studies, needs

assessments, community facilitation and other processes to identify community, household and individual socio-economic needs. Whereas previous welfare approaches provided a limited mix of packages and services primarily to individuals, the social development approach recognises the variety and complexity of social needs, as well as the need to achieve sustainable cost and delivery efficiencies.

It is envisaged that the social development approach would work primarily through communities, by being proactive rather than reactive providing integrated services and packages in response to the complex and multi-faceted nature of socio-economic challenges.

Access to Services

The integrated service delivery framework is intended as a single point of interface between beneficiaries, the Department with its various units and their respective service offerings, and the services of other Departments in the Social Development Cluster. Through this, the key to the implementation of this framework is the re-design of front-office processes to meet the varied needs of beneficiaries. It is believed that it will enable the beneficiaries to access a wide variety of services through reduced numbers of interactions, or else, be directed to other more appropriate service providers. The most direct outcomes of this single interface to beneficiaries are the benefits in terms of time and cost savings, as well as the quality and appropriateness of services received. The integrated service delivery will enable greater efficiencies through the packaging of services.

Another key purpose of integrated service delivery is an attempt to improve the access of beneficiaries to government services, through the distribution and use of fixed, virtual and/or mobile service points and delivery vehicles to areas of poor access, particularly in the remote rural areas of the Province, including multiple services at service centres, integrated delivery centres, multipurpose community centres, mobile service delivery units and new but now increasingly available ICT and cellular technologies.

Crucial for the successful performance of the integrated service delivery model is the increasing use of community development workers to facilitate community development programmes and improve community liaison as the primary interface between communities and the Department. The department has been appointing professional staff in the field of social welfare for example Social Workers and neglecting the field of community development. Therefore, the focus of the department has been on one leg although the core business is a two leg which has created a gap in terms of integrated services internally.

Linkages and Integration

According to DSD EC, District Development Model (2010), the integrated framework is premised on the better use of service delivery intermediaries, namely FBOs, NGOs, CBOs, traditional authorities and other local institutions. It is also based on the establishment or formalisation of partnerships between the Department of Social Development and other Departments, in particular the Departments of Home Affairs, Health, Education and Public Works, as well as local authorities.

Table 3 below shows linkages on four office levels of DSD with various stakeholders in ensuring strong partnerships. These partnerships assist in creating good cooperative governance which result in good working relation; provision of support and assistance with integration of service at all levels. This kind of linkages and partnership assist the DSD to deliver on its mandate as it can not deliver or render services in isolation. This also forces the official of this department to shift their mind set and ensure that they perform their duties in an integrated manner and contribute to the improvement of service delivery.

Table: 3. Illustrates linkages and coordination of district offices with other public entities and institutions:
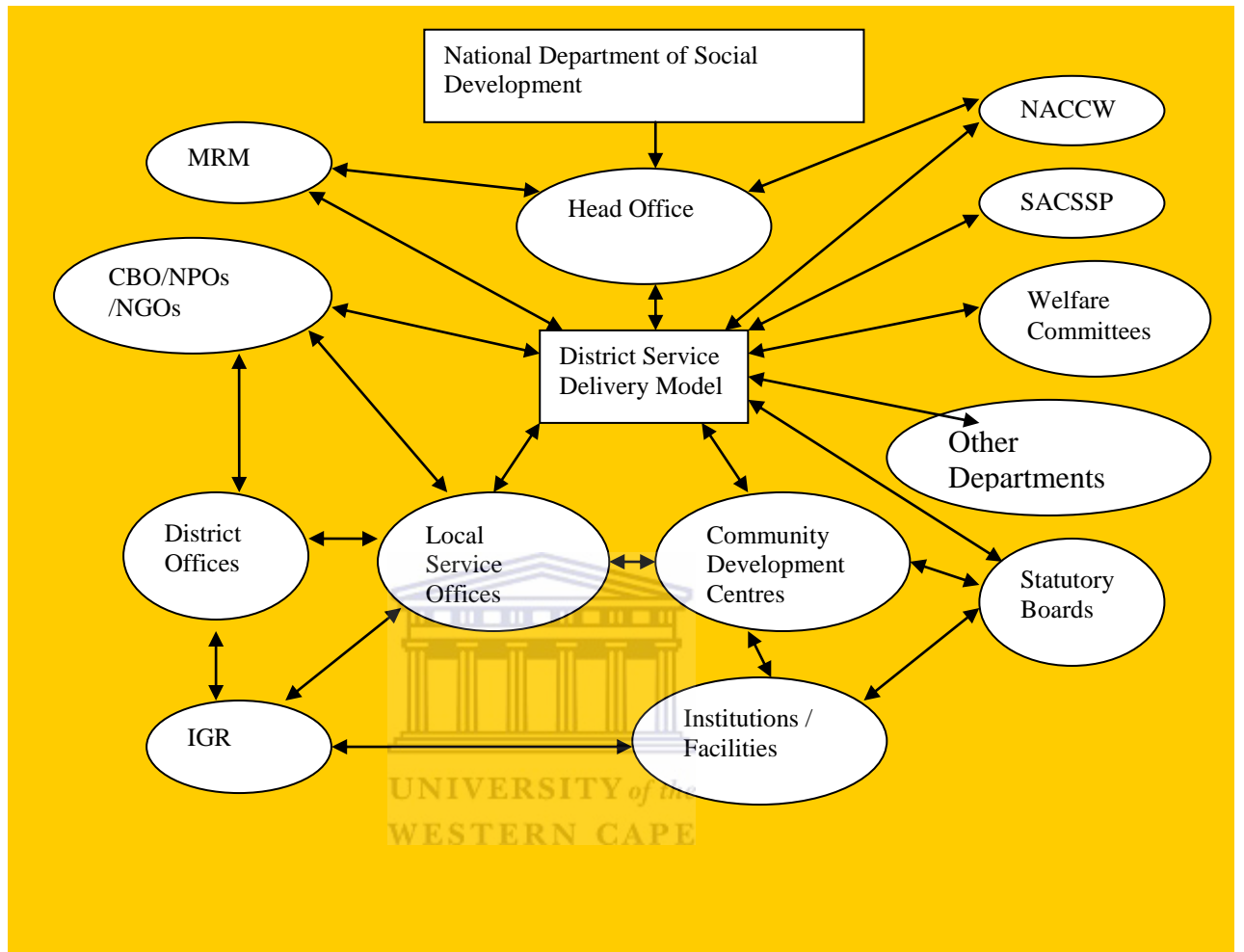
Source: DSD Eastern Cape, district development model, March 2010:13

The framework goes beyond a loose integration and should stimulate the integration of government and departmental programmes and projects as well as the initiatives of other stakeholders and partners in order to provide comprehensive delivery of services. A consequence of linkages and coordination with other institutions will require the re-skilling of staff at the service delivery interface in order to support a more comprehensive and customer-centric approach to service delivery. The operations of department have been lacking internal and external integration. Therefore, the staffs need to be empowered to be able to identify the areas that need synergies in implementing the departmental programmes and approaches to be adopted. The training must include complementing the resource and integration of

planning with other stakeholders for an example an Integrated Development Planning (IDP) of the municipalities.

DSD FRAMEWORK OF SERVICE DELIVERY

The Department of Social Development is currently operating on the revised structure which was approved towards the end of the 2008/09 financial year. The development of a revised service delivery model and structure began in 2005/06 financial year. It has been largely occasioned by the planned redirecting of the social security function from the Department of Social Development, and the need to move away from a 'welfarish' to a more developmental approach. According to the District development framework the co-ordination of service delivery is being facilitated through the following levels of service delivery:

Table:4 ALIGNMENT OF DISTRICT OFFICES WITH LOCAL GOVERNMENT
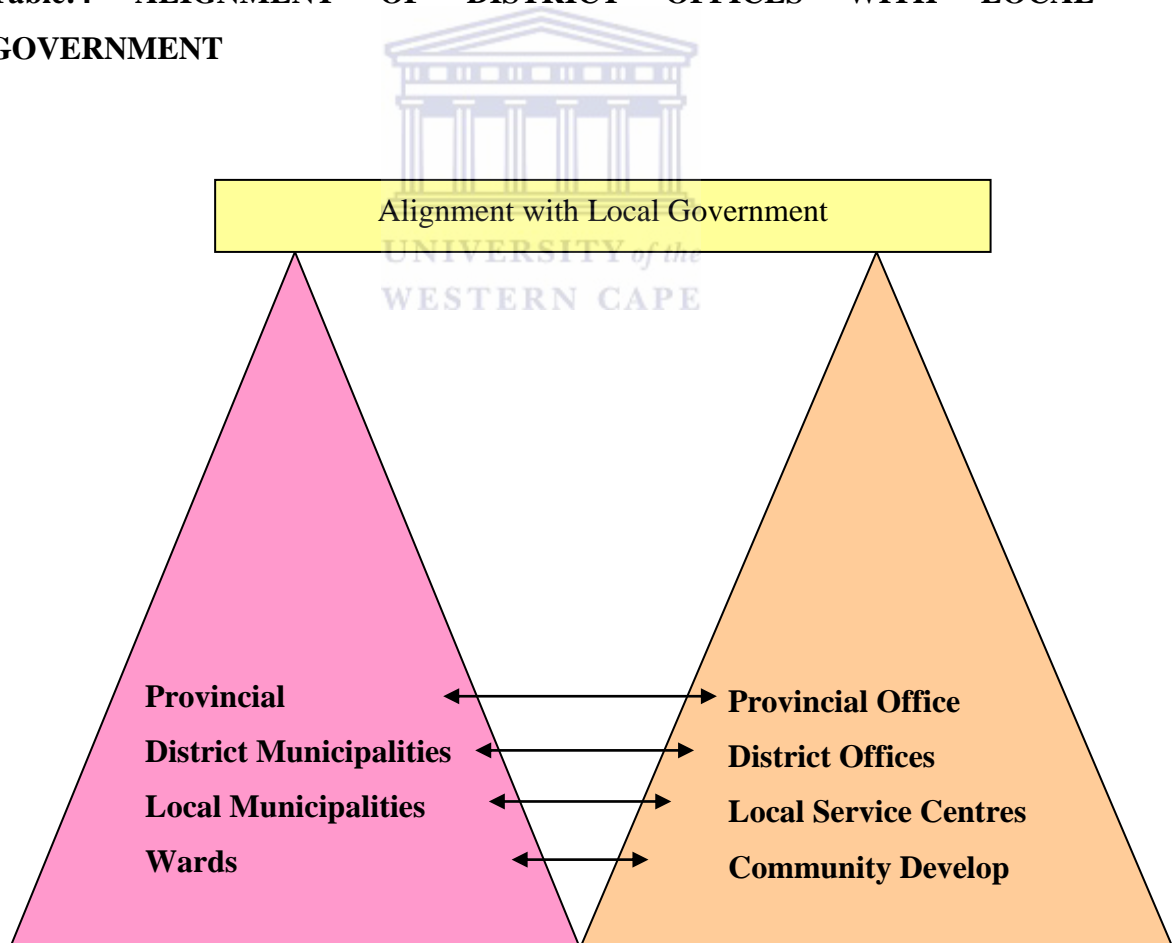
Source: DSD Eastern Cape, district development model, March 2010: 12

Table 4 above shows the alignment of DSD office levels with those of local government with the purpose of ensuring good cooperation amongst the different spheres of government. The alignment of these institutions also assists with integration of services and making service more accessible to communities. This shows that in each level of municipality or local government there is an office of DSD as shown in the table. The most important end result is assistance provided to each other and bringing services closer to the people and communities.

Table: 5 FUNCTIONS AND PROGRAMME MANAGEMENT IN THE DSD
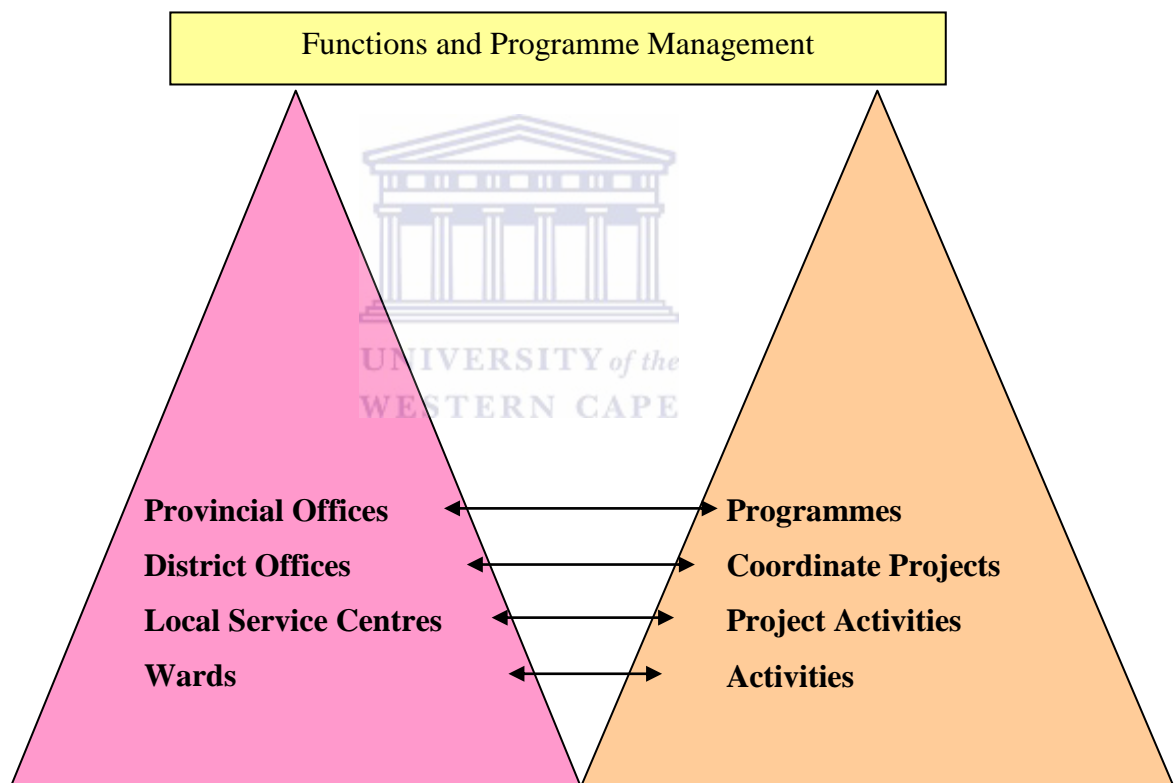
Source: DSD district development model, March 2010: 12

Table 5 above shows exactly what happens at each office level of both spheres and institution. It could be seen that at provincial level that is where the programmes and policies are designed and developed in line with National and Provincial priorities. In district level that is where the coordination of programmes and projects is taking place and with Local offices Centre and Local Municipality focus on implementation of services through various activities and projects at wards level. This process and

alignment of functions and programmes requires officials of these institutions to participate in different kinds of forums and structures with purpose of working together and integrate their service.

Table: 6 Outline of Functions and Responsibilities for each level of DSD management

Service Office	Area Office	District Office	Provincial Office
Responsibility	**Responsibility**	**Responsibility**	**Responsibility**
It involves the provision of the direct services to individuals and communities in an integrated manner through single interface and also the utilization of a management information system. This is intended to be achieved through the roles of social workers, community development practitioner and social security administrators.	Support and manage the implementation of services, which are determined geographically and clustered into areas of district in order to align planning and integrated programming. Design strategies and mechanisms for service delivery that are area specific. Operation and management of programmes and project delivered at service centers in the area and Development of operational partnership.	Facilitate integrated planning for the district. Coordinate administrative support to area offices.	Overall accountability for district coordination
Functions	**Functions**	**Functions**	**Functions**
-provision of statutory welfare services. -Implementation and management of community based intervention and integrated poverty programmes. -Gathering information for planning purposes. -Provide crisis intervention. -Serve as an information source. -Identify and utilize volunteers	-Conduct area profiling and analyze emerging trends. -Develop business plans that is area specific aligned with municipal IDPs. -Evaluate outcomes of services at community level. -Support and guidance to service center staff. - Render management of communication flow and of partnership network. -Document and report on programmes performance to the provincial office.	-Co- ordinate area plans of the district and integrate into provincial strategic plan. -Facilitate the development of district plans that are aligned with Department strategic plan. -Managing administrative support services for capacitating area offices. -Develop strategy for partnership collaboration.	-Policy formulation -Provision of strategic direction for effective service delivery. -Planning, coordination, monitoring and evaluation and reporting. -Ensuring compliance with all relevant prescripts. -Facilitate and coordinate Non-Profit Organisation Act -Establish provincial, national and international linkages. -Translation of policy to programmes. **-**Management of Service level agreement and NGO's payments. -Rendering of macro support

			services -Monitoring and Evaluation
ACCOUNTABILITY	**ACCOUNTABILITY**	**ACCOUNTABILITY**	**ACCOUNTABILITY**
Service office supervisor accountable to area manager for service delivery implementation	Area manager accountable to district coordinator for service delivery in that area and their own overall performance	District coordinator is responsible to the provincial district coordination for district service delivery matters and their own performance District manager is also accountable to Chief Director: Corporate Services for the provision of shared corporate services within the district The Chief Operating Officer is responsible for overall district coordination and development in the Department	

Source: Author's own research, 2010

Chapter Summary

Based on the preceding analysis, it can be supported that department of Social Development, Eastern Cape Province has been proactive concerning the shift towards social development approach from welfarish to a developmental. The proactive approach to service delivery has been driven by the fact that there has been an exit or separation of the social security system from the department since 2006. The separation of social security from the department, to the formation of the South African Social Security Agency (SASSA), necessitated that the department adopt a new approach which is also aligned to national department Integrated Strategic Development Framework. The approach that the department has adopted could also contribute to the performance of the department and promote the individual and team performance; hence it should be aligned to the EPMDS.

The next chapter analyses the research data for the purpose of presenting the research findings, in order to assess whether results relate to the research problem and guiding assumptions in the introductory chapter.

CHAPTER FOUR

THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN DEPARTMENT OF SOCIAL DEVELOPMENT EASTERN CAPE PROVINCE

Introduction

The chapter provides an analysis of the empirical data collected for this study. The research results relate to the research problem and guiding assumptions made in the introductory chapter to this thesis. The presentation of the data analysis is divided into the following sections: knowledge of Employees of the Performance Management and Development System; internal and external factors hindering the implementation of EPMDS; factors enabling employees full implementation of EPMDS; challenges facing the implementation of EPMDS and mechanisms for effective implementation of EPMDS. In addition, a reference will also be made to three interviews that were conducted.

Knowledge and awareness of EPMDS

The data obtained reflected in Table 7, indicates that most employees in the department, approximately 90%, are aware and well informed of the EPMDS hand book or guide, and 85% have access to it. This implies that the staffs of the department have full knowledge of EPMDS. This is also shown by the number of employees who have received training on the EPMDS, approximately 73%, of which 61% were assisted by training in implementing the system. The result also shows that employees of the department have limited knowledge on the EPMDS, as shown in the table: 7 approximately 81% of employees indicated that they still need further training

on the system. However, this is in contrast with the large number of employees who

are in agreement with the statement indicating the

Table: 7 Knowledge and Awareness of EPMDS

		DO		HO		Province	
		Yes	No	Yes	No	Yes	No
5.1	Supervisor's responsibility in implementing EPMDS	70	0	30	0	100	0
5.2	Awareness of EPMDS handbook or guide	64	24	10	2	88	12
5.3	Access to the hand book or guide	62	23	10	5	85	15
5.4	Training received on EPMDS	62	11	18	9	73	27
5.5	Training assistance in implementing EPMDS	59	31	2	8	61	39
5.6	Further training required on EPMDS	71	12	10	7	81	19
5.7a	EPMDS to improve service delivery					96	
5.7b	EPMDS applicable only for selected few					4	
5.7c	Provides clarity and play role in achieving objectives					88	
5.7d	EPMDS a punitive tool not developmental					4	
5.7e	Supervisor decides when to evaluate performance					0	
5.7f	Strategic plan contribute to EPMDS success					50	
6	Fully implementation of EPMDS					**62**	**38**

(Source: author's own research, June 2010)

purpose of the EPMDS. This could be seen where 96% agreed with the statement

indicating that the EPMDS purpose is to improve service delivery. In addition, this is

in contrast to 4%, who view it as a punitive, and not a developmental tool. This has,

however, provided clear knowledge of an existence of the system, because if one does

not have full knowledge of the purpose and aims of the system, one will experience many challenges when it comes to implementation and management thereof.

Knowledge on the implementation of EPMDS is of the greatest importance for the alignment of the systems with plans of the department, which is currently lacking, and seems to be the challenge with the implementation process. As established, in chapter two, namely that a gap in the employee's knowledge of EPMDS has an influence in poorly constructed performance contracts which are not aligned to the plans of the department, this could be seen with the half of the respondents who are in agreement with the statement that the departmental strategic plan, regardless of its format, is non-negotiable for EPMDS to succeed in its implementation. This shows that 50% of employees are aware of the alignment of the system irrespective of the format or level of the departmental plans compared to the other 50%. This is of great concern as there is little knowledge around this matter. It could be, perhaps be linked to the 81% that require a further training to the EPMDS.

It is clear that the alignment of plans including individuals, and operational and strategic plans of the department are very important for the success of EPMDS as they contribute towards achieving the goals and strategic objectives of the department. This also could be seen in an 88% of the respondents who agree that the EPMDS provides clarity and plays a role in the achievement of departmental objectives. The research revealed that despite all training provided, knowledge, awareness and skills gained about EPMDS, only 62% of respondents have managed to implement the system fully, compared to a smaller number of approximately 38%. Perhaps this could be associated with factors and challenges hindering the process of

implementing the system. In chapter two it was established also that there are key practices for effective PMS. These include the construction of development plans and training on how to conduct the performance evaluation meeting. It should be noted that despite any challenges there is still a greater need to ensure that there is an effective implementation of EPMDS for good performance in the department.

Internal factors that hinder the implementation of EPMDS

This section of the data analysis focuses on internal factors hindering the implementation of EPMDS as identified by the respondents who are the employees of the department of Social Development. Table 8 here below shows that the lack of leadership, which is 21% as identified by employees in this study, contributes largely to hindering the implementation process. The lack of leadership in the department exists as a result there is a lack in forcing compliance; provide necessary support and good direction in implementing the policy framework. In some instances the leaders of the department are the first not to comply with procedures for implementation. The non-filling of managers' and supervisors' position contributes to lack of leadership in some offices and as a result those acting cannot exercise full authority in their management processes. This needs to be looked at it very seriously.

Table: 8 Internal factors hinder implementation of EPMDS

Internal factors that hinder implementation of EPMDS
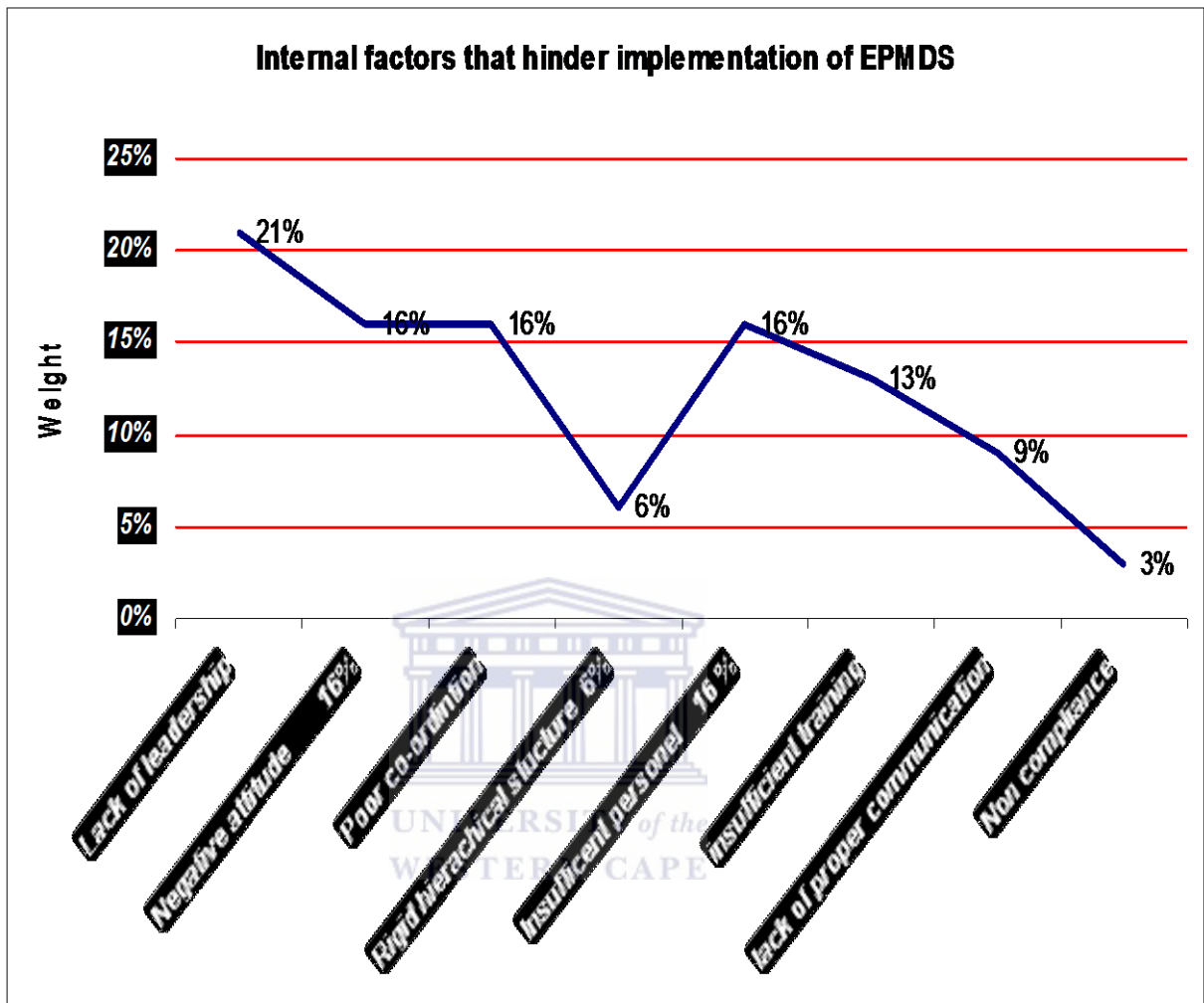
Source: author's own research, June 2010

It must be noted that the negative attitude of some employees (about 16%) is also playing a role in a non-effective implementation of the performance management system. It has been also established in chapter 2 that the tool such as reward system in this case EPMDS and job design performance contributes in creating or developing attitudes amongst employees. This could be the result of poor coordination of activities and systems itself (also about 16%) and employees view it as an additional burden on them. In contrast to this is a lack of proper communication which is

reported at 9% by employees. This means that there is a gap, which affects the implementation.

Table 8 also shows the inadequate numbers of personnel, reported at 16%, is a contributory factor to a non-effective implementation of the system. The findings are that employees do not have time to comply with all requirements of the EPMDS as they are overloaded with work, due to the non-filling of posts (some of the employees are doing the work of two or more employees). The insufficient training is reported at 13%. It must be noted that this training was in the form of a workshop conducted by head office and informal sessions by district office. Therefore, some employees believe that formal training is needed and can contribute positively to their performance. In chapter 2 it was established that employees require a new set of skills and styles of management to effectively lead the change process. These new sets of skills and style of management for effective implementation of EPMDS can be acquired through further training. In addition, it was also established in chapter 2 that training on performance management has been identified as one of key practices for effective implementation of EPMDS.

In contrast to this is a non-compliance by employees, which is reported at 3%. This involves signing of a performance agreement in the first month of the financial year and conducting quarterly reviews within a month following the end of each quarter, with a final assessment within a month following the end of the financial year. The research findings reveal that some performance agreements are not signed, or no quarterly reviews are conducted (they are being conducted when the final assessment is taking place). As can be seen in chapter 2, that implementation of PMDS in the EC

was found to be unsatisfactory at SMS level with performance reviews and appraisal not being conducted as required. The main reasons for non-compliance were the poor planning, delays in the development of operational plans and lack of understanding of the process of reviews. In this case employees would backdate everything in preparation for a final assessment, knowing that there would be rewards in terms of salary pay progression, or notches increases or increments and merit, or performance bonuses. The rigid hierarchical structure and culture of the department was reported at 6% and was also associated with failure to the system. The employees believed that the supervisor should always remind their supervisees and initiate the process of entering into a performance agreement or contract and conducting of assessment, although this is a reciprocal process. Hence this needs to be addressed to change the mindsets of employees.

Main factors to enable full implementation of EPMDS

This section deals with the main factors that enable employees of the department to fully implement the EPMDS as shown by the Table 9 below. The majority of staff, i.e about 57% together reported that training, compliance and proper planning are the main factors contributing to a full implementation of EPMDS at their offices. The relevance of the training provided were in the form of a workshop conducted by head office and district office information sessions. Almost 20% identified training as one factor that enabled them to fully implement EPMDS. This is equal to 19% who believed that compliance with procedures concerning the signing and reviewing of individual performance also contributed a great deal to the full implementation of EPMDS.
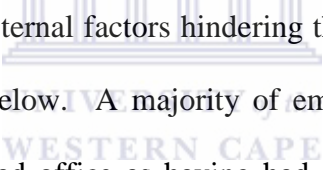
Table: 9: Main factors enabling full implementation of EPMDS
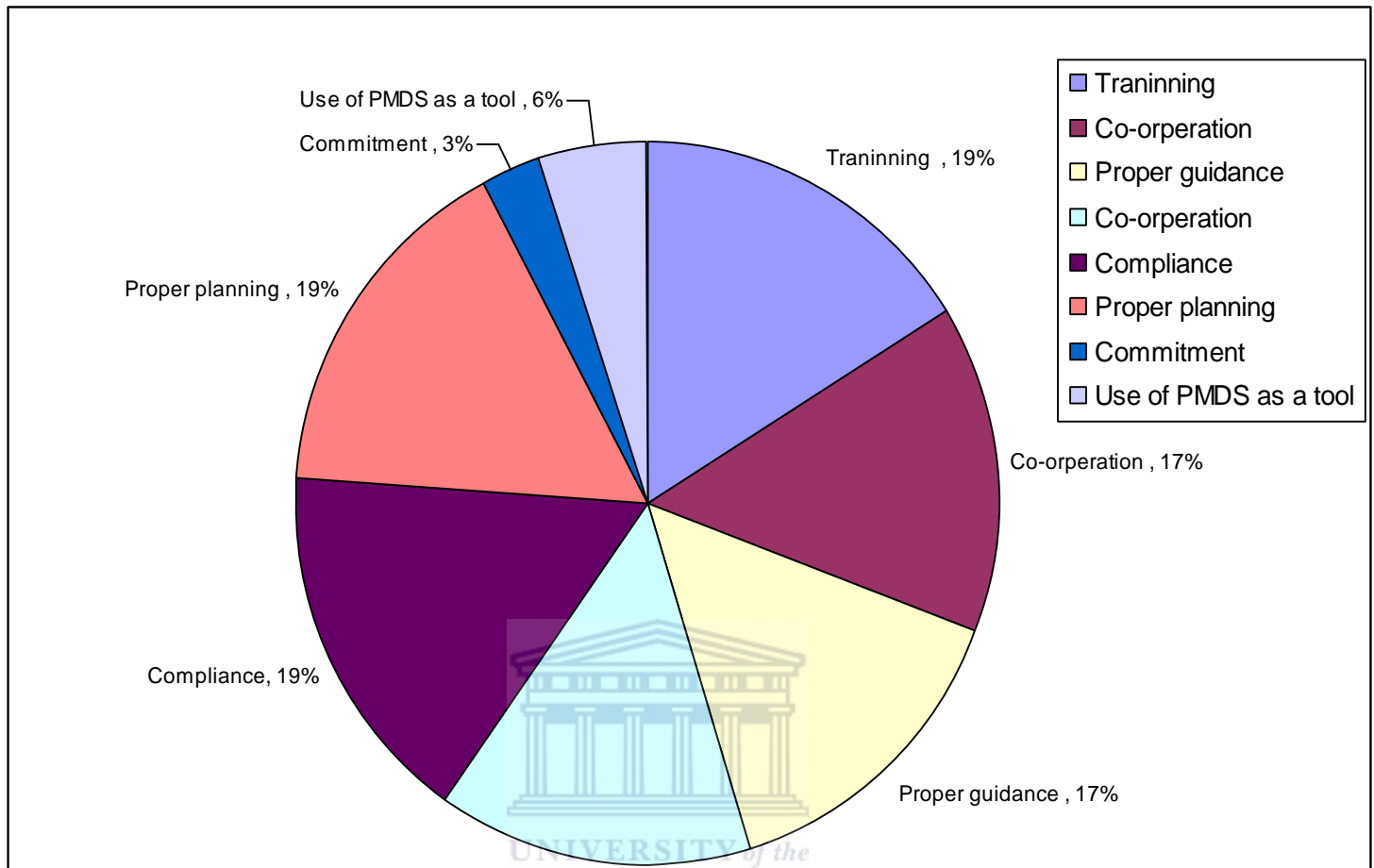
Source: author's own research June 2010

The research findings show that when empowered with knowledge employees are able to adhere to the procedures and policy, particularly with the implementation of EPMDS. It is also important to note that about 19% reported, proper planning of operations has enabled them to implement EPMDS, which is equal to the same percentage assisted by training and compliance with procedures. It would, indeed, appear that empowered staff or employees are able to comply with procedures around the service delivery system and at the same time are able to plan their operations accordingly.

The co-operation by employees, reported at 17% between the supervisor and supervisees, also contributed to the implementation and this is equal to about 17% of employees who reported that the proper guidance by the management enabled employees to fully implement the system. However, only 6% reported that the utilization of EPMDS as a tool, assisted them, and this raises concern as to how user-friendly the tool is in implementing the performance management and this needs to be looked at very seriously. Coupled to this is the alarmingly low percentage, which is 3% for employees who believed commitment and dedication contributed positively in the implementation process.

External factors hindering the implementation of EPMDS

This section focuses on the external factors hindering the implementation of EPMDS as reflected in the diagram below. A majority of employees, approximately 44%, cited unplanned events by head office as having had a negative impact in enabling them to comply with the implementation of EPMDS. This implies that they deviated from the implementation of their operational plans and focused on those activities and projects that head office gives priority to. This confirms the lack of alignment in the planning of both levels. The indication is that employees get frustrated when it comes to the review of performance, as they performed activities outside their performance contracts. This implies that they would have to be evaluated on something else, other than on their agreed and signed contracts. In addition to the time to conduct reviews, it is also limited, as they engaged in other activities they did not plan to execute.

Table: 10   External factors hindering Implementation of EPMDS
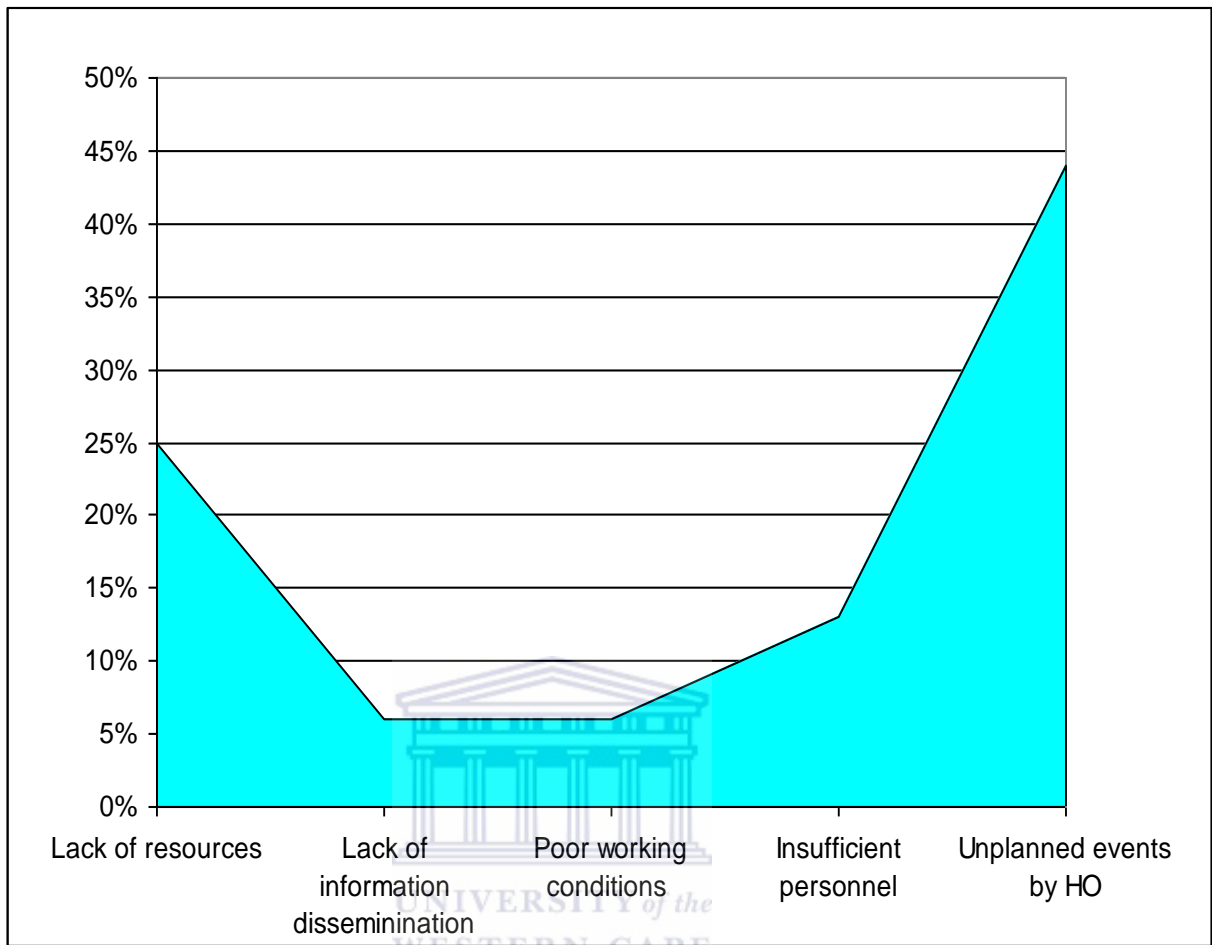
Source: author's own research, June 2010

Some employees 25% reported that the lack of material resources has hindered the implementation of EPMDS, as they plan their activities but these could not be implemented due to the unavailability of resources. These resources include motor-vehicles, furniture and equipment including IT equipment and infrastructure, and office space. It is important to note that the responsibility to provide these resources lies with head office. Employees at district level view this as an external responsibility although it is still within the department. The lack of resources indicates that it becomes unrealistic to expect good performance when reviews take place. The lack

of resources supersedes the achievements during the assessment of performance. Coupled with the lack of resources is the inadequate numbers of personnel, about 13% of employees reported this factor hindering the process of implementation of EPMDS in that officials were being overloaded with duties of two or more individuals. In addition some staff members had to play the role of team leaders or acting supervisor where there were supervisors. It is also expected of them to execute their normal duties whilst they perform these additional functions. As a result of the work overload, employees who performed double functions found themselves not having time to sit and review or conduct the performance reviews as they were overloaded.

Challenges faced by employees in implementing the EPMDS

This section deals with challenges faced by employees with regards to implementing EPMDS as reflected in Table 10. About 20% of employees indicated that performance contracts that are not quality assured, is the biggest challenge. This implies that the performance agreements signed by supervisor and supervisee were not aligned to the operational plans of their offices, therefore they were not true reflections of what they were doing. The key results area was not in line with their key performance areas. In addition to this it should be noted that about 2% of employees identified lack of clear formulated job descriptions, which is a challenge. The employees signed a performance agreement in order to comply with time frames knowing that the challenges that impact badly on their operations exist. This contributed negatively towards the review and assessment of the performance of individuals and the department at large. As established in chapter 2, a common challenge at SMS level in EC was that the PAs did not distinguish between the KRA and CMC. It should also be noted that some of key practices of implementation for

effective EPMDS include the quality of performance appraisal measured and the performance appraisal information other than that based on judgment of managers.

Table: 11   Challenges facing employees in the implementation of EPMDS
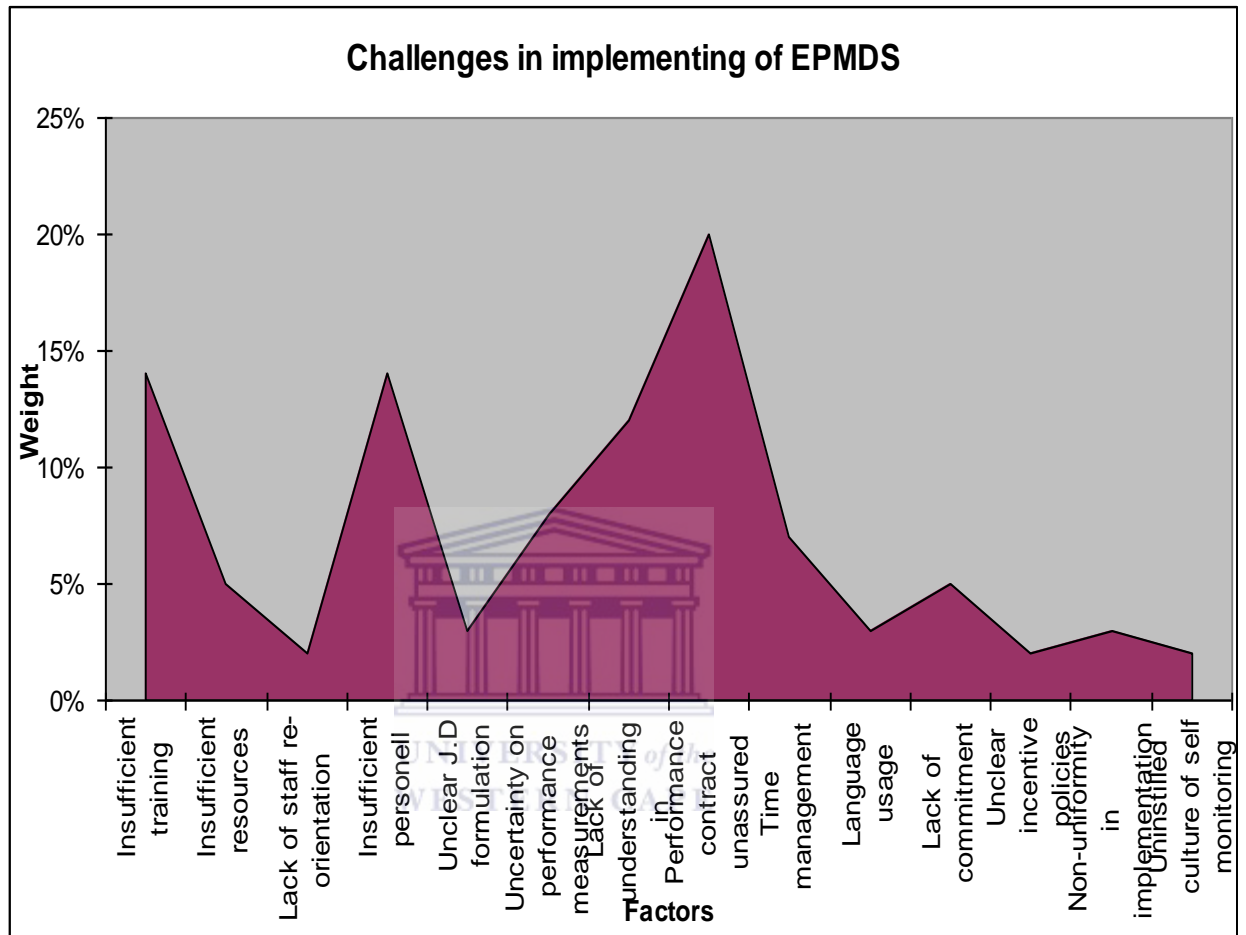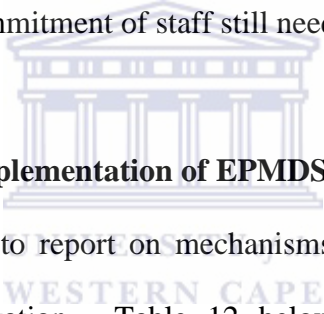
Source: author's own research, June 2010

The most interesting part of the research is that about 14% of employees identified lack of training of staff on EPMDS as one of the biggest challenges, despite the fact that training was provided in the past by head office and various information sessions conducted by the district offices. The lack of training could be attributed to the fact that there are new employees who joins the department from time to time. The lack of training could still be addressed, as at least 2% of employees indicated that there is a lack of reorientation of staff with the new system. In addition to the challenge of

lack of training is the smallest number, about 2%, of employees who identified the lack of clear incentives policy appraisal. This also gives an indication of the need to empower some staff. The incentives policy appraisal is clearly stated in the EPMDS policy framework. However, it can be said that some of the employees never understood the process from the beginning. The gap is in the knowledge and understanding on EPMDS. There were about 12% who identified the challenge as the lack of understanding of the implementation process, particularly on assessment and on ensuring the quality of results of the process.

It can also be seen that about 8% of employees reported that they have difficulties in measuring performance. The measuring of performance is another gap that must be addressed in ensuring effective implementation of EPMDS. However, it needs to be noted that about 3% recorded the challenge of lack of uniformity in the implementation of EPMDS across the Province. This must be seen as perhaps a lack of understanding of the process of implementation. Employees also need to be empowered in terms of performance. About 14% of employees reported that the inadequate number of personnel also poses a great challenge in the implementation of EPMDS. The impact of the challenge is that posed by officials who are executing duties of two or more officials. Some of the officials continue to act as team leaders or acting supervisors where needed, and also perform their normal functions or duties. This execution of double functions by the officials also has a negative impact on the implementation of EPMDS as they find that they do not have enough time to comply with all aspects of the implementation of the system. One of the other challenges in the implementation process is time management, as identified by about 7% of employees.

The challenges hindering the implementation of EPMDS identified include, mainly physical and material resources were similar to external factors. The reason for this similarity is that employees tend to use these words interchangeable because of their negative impact towards their goals. About 5% of employees reported that lack of resources such as office space; furniture and equipment including IT equipment and vehicles as challenges that impact negatively in the implementation of EPMDS. About 5% of employees also identified lack of commitment from staff, including senior managers as a contributory factor that poses a challenge in the effective implementation of the system. Whether or not there is any relationship between enabling environment and commitment of staff still needs to be look at critically.

Mechanisms for effective implementation of EPMDS

The focus on this section is to report on mechanisms identified by employees for effective EPMDS implementation. Table 12 below highlights the result from employees on elements and mechanisms as identified in the research. The need for the provision of further training and retraining of employees came up very strongly and was reported at 34%. Almost about 34% of the employees reported that formal training, rather than the informal workshops attended by employees and sessions with their managers, was needed.

Table: 12   Mechanism for effective implementation of EPMDS

Mechanisms for effective implementation of EPMDS

- ,Enabling enviroment 10%
- System redress, 4%
- Proper allocation of resources, 8%
- Provision of further training, 34%
- criteria, 16%
- Proper munication, 8%
- Compliance enforcement, 20%
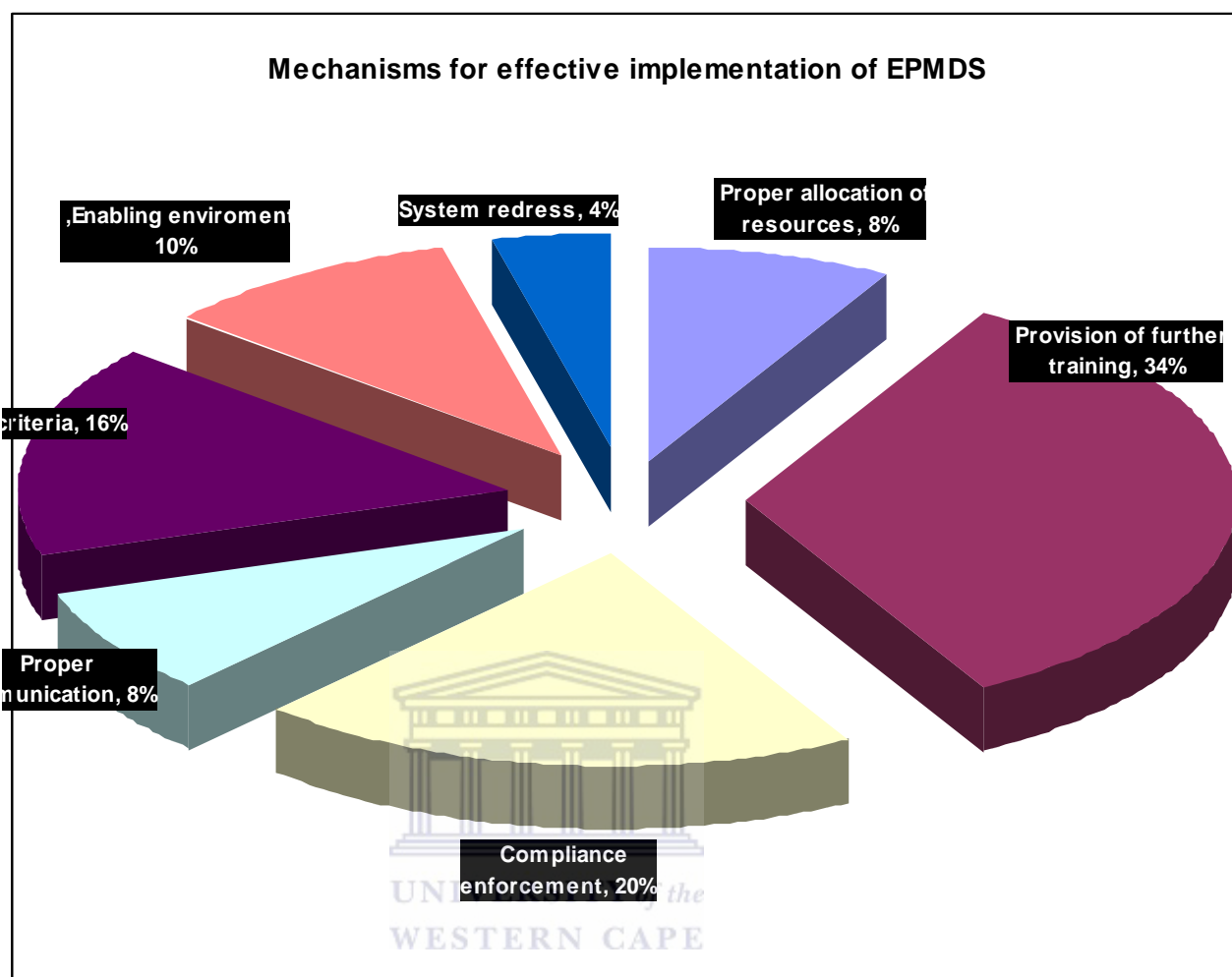
Source: author's own research, June 2010

The training of employees should also include supervisors and managers who are struggling and unable to provide answers on certain issues raised by their supervisees. Coupled with training, one should ensure that every staff member of the department is provided with a manual guide. This is totally in contrast with 4% which indicates that the entire system should be redesigned, as some indicated that it was frustrating them. However, it needs to be emphasized that if one is responsible for implementing any policy one must be empowered, hence further training needs to be provided. The element of enforcing compliance reported at 20% is a result of lack of commitment

from management. The enforcement of compliance needs to be taken very seriously, and action taken against non-compliances and implementation should be monitored electronically. The signing off on the system cannot be backdated, thereby forcing all the employees to comply with time frames for entering into performance contracts and conduct reviews before system close off.
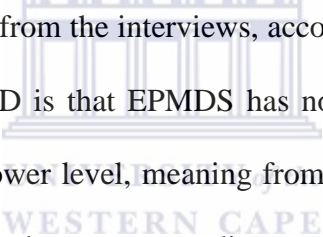
In relation to the non-compliance is an issue around uniform criteria which is reported at 16%. It was reported that there is no uniform criteria from the compilation of performance agreements from the officials who were performing the same functions and tasks in all districts and offices. The lack of uniform criteria also had a negative impact when it came to awarding of incentives in the entire department. The approach is used by various supervisors and managers in different offices. The improvement and creation of an enabling and conducive environment is reported at 10% and is based on infrastructure such as office accommodation or space. It came very strongly, especially in rural areas, where the department mostly is using park homes as temporary premises for many years without electricity and air conditioning. Therefore, all these infrastructural conditions need to be improved as they currently present a challenge when it comes to performance reviews, as employees always tend to blame the environment for not achieving specific targets as planned.

An increase in proper communication reported at 8% amongst management and junior staff i.e between supervisors and supervisees, and could play a role in effective implementation of EPMDS. Strong and proper communication can increase relations and promote trust and respect from all parties, and negative elements avoided. Lastly, proper allocation of resources reported at 8%, is another mechanism that can

contribute to the improvement of service delivery, and for effective implementation of EPMDS.

In-depth interview

This section provides a summary of all elements and factors that have a bearing on the effective implementation of EPMDS as described and identified by interviewees in the department. It focuses on the key issues relevant to the research that are experienced and identified in the entire department. The main purpose for adding this information is to gain an insight into experience and understanding of factors contributing to a non-effective implementation of EPMDS.

The main issues that emerged from the interviews, according to both Director HR and Assistant Director (ASD) HRD is that EPMDS has not been properly implemented from senior management to lower level, meaning from the top to the bottom at head office to district level. Major elements, according to the ASD: HRD that contribute negatively in effective and proper implementation are the lack of ownership and commitment by staff and top management. According to ASD:HRD these elements are associated with the fact that employees in this department are not provided with the proper and formal training except informal workshops and sessions, hence SMSs are not trained at all, only junior and middle management were 'work shoped'. The ASD HRD assets that failure to monitor the quarterly reviews by managers and supervisors and reshuffling or appointing of new staff members are also done in a disorderly manner. Certain responsibilities are not executed in a good and formal manner. The other important challenges that came up is the shortage of personnel. The ASD: HR stated that service delivery has not improved with the implementation

of the system as there has not been quality assurance on performance agreements and personnel development plans.   In addition to this is the lack of alignment of strategic planning and operational plans with individual plans.

The Director HR stressed that some external factors such as policies which are not punitive and non-sanctional contribute to non- implementation of the system.   In addition, he said that the DPSA does not put pressure on the department concerning implementation and issues only empty threats. He asserts that the Director General validated the implementation, but not the evaluation and it came across very strongly that some of the challenges are lack of commitment from SMSs and the top management, including lack of support from SMSs.   Coupled to this is the non-contextualization by employees concerning the concepts, content, and context, hence an internal understanding is needed.   The Director: HR indicated that a possible solution has been suggested, which includes sanctions of whoever is not fulfilling his/her responsibilities in this process.

The Chief Director (CD): Developmental Social Welfare Services and an Acting Head of the Department argues that the insufficient financial resources and blockages that are present with funding of programmes; delegations which are centralized as the department is operating in a bureaucratic manner with many red-tape; as a result certain people cannot perform their functions or take decisions. According to him, the policies, such as upgrading of salaries of social workers, which is controlled by National Government, has taken too long to be implemented, and social workers were leaving the Department. As a result the department experienced a high turnover of personnel. The CD Social Welfare also stressed that the EPMDS is not objective and

there is no consistency in terms of incentives that go with the systems. He asserts that most of the time the whole process is token in nature (not contributing to the performance of the department). He said no result whether you evaluate EPMDS or not or you sign, therefore it becomes useless (no positive impact). The CD suggested that the possible solution is developing a system which will allow a variety of incentives if employees perform and development if under performing. He argues that there is no team approach in EPMDS and if we want to transform an organization the system should focus on team work. The CD social welfare stated that where there is an improvement of service delivery is not a result of EPMDS but because employees have been promoted in their ranks and make difference by contributing positively towards service delivery. He said that the EPMDS has created some anxiety amongst employees. All the interviewee suggested that there should be provision of further training to employees and senior managers who never had an opportunity to be trained and having a uniform rewarding system.
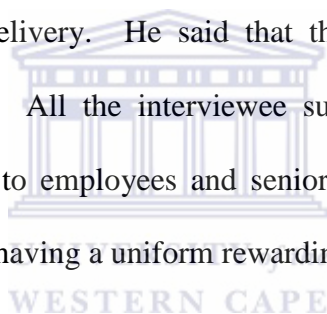
Chapter summary

This chapter provided a description and analysis of the collected data. The assessment of results focused on five components, namely, knowledge and awareness of EPMDS; internal and external factors hindering the implementation; factors enabling fully implementation; challenges facing the system implementation and mechanisms for effective implementation of the performance management system.

The majority of employees reported to be well aware of the performance management system and have access to a guide although many still need further training. The

analysis shows that employees have full knowledge of the purpose of implementing EPMDS.

The statistical data indicates that the implementation of the performance management system is hindered by the internal and external factors, such as lack of directives and leadership, insufficient personnel, negative attitudes, insufficient formal training provided, poor coordination and support, non-compliance and insufficient physical and material resources. The most important issue is that factors and challenges identified are interlinked with elements found in PMS, so there is a clear commonality with EPMDS. However, it is important to note that mechanisms suggested for effective implementation came up as indicated from data analysis. These include the proper allocation of resources; enforcing compliance, uniform criteria, provision of training and improvement and creation of enabling conditions or environment. The gaps identified within the relationship of supervisor and supervisees could also be strengthened using mechanisms suggested by employees for proper communication that could result in being more being realistic in providing developmental feedback from all parties.

The next chapter deals with some conclusion and recommendations.

CHAPTER 5

AN EFFECTIVE IMPLEMENTATION OF EMPLOYEE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM (EPMDS)

Introduction

This chapter presents the key findings, conclusions and recommendations of this research project. The conclusion itself aims at drawing together the main findings of the research and links them to the research problem and the literature survey. The research report ends up with the recommendation on how to implement effectively the EPMDS.

One of the key assumptions in the introductory chapter was that an alignment of individual's performance contracts with operational and strategic plans correlate strongly with the improvement of service delivery and ensures integration of operations and activities. This is echoed by Brown and Armstrong (1999:242) when they say "*This encompasses integration of corporate and individual objectives so that what organization is aiming to do. It can integrate the core competences of the organization with skills and behaviour, teams and individuals need to display, so that again, people understand what organization what organization has to be good at doing and therefore what they have to be good at doing*". This implies that in order to implement EPMDS effectively it must be designed to ensure support of alignment between individuals and organizational goals.
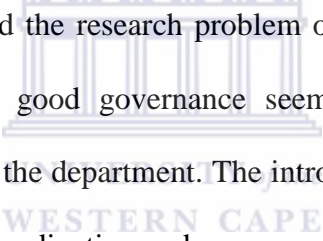
However the findings of the research project show that in this department there is a lack of alignment with plans as it has been indicated that employees continue to perform or implement unplanned activities which are not within their operational

plans. This has negative effects on implementation of EPMDS and resulting in negative impact on the service delivery. As indicated earlier the implementation of EPMDS provides management development leadership with strategic and operational plans and splendid task execution and accountability.

The research highlighted the internal factors that hinder the process of implementation of EPMDS which include the lack of leadership as a result of lack of support from top management coupled with lack of directives in terms of enforcing the implementation of performance management system. In addition, the senior managers could not even provide support and middle managers cannot provide sufficient direction and guidance concerning proper and effective implementation of the system. The lack of support and guidance by senior manager hindered the process of implementation of EPMDS in the department and affected negatively service delivery. It must be noted that the result of the research conducted by Public Service Commission (PSC) in twelve departments in the Eastern Cape Province also revealed unsatisfactory implementation of performance management and development system by SMSs during the financial year 2006/07. This is in relation with Armstrong et al (2000:99) argument that *"Poor performance may be a result of inadequate leadership, bad management or defective system of work. All are probably the result of failure of whoever is at the top of the organization to establish well defined and unequivocal expectation for superior performance".*

The most interesting finding in this research is the fact that employees of this department have the knowledge of EPMDS and its purpose meaning that there is a great awareness amongst the employees. The majority of employees are also aware of

the fact that there is a manual guide or book and however, not all employees are in possession of it. This is in line with one of the key objectives which focused on the knowledge of EPMDS amongst the employees of the department. It is believed that the knowledge is the tool for the empowerment of individual, however, the fact that all employees are not in possession or have an access on manual guide needs to be dealt with in a more serious manner although few indicated that they do not have access. It could be seen that the knowledge of the system contributed to the implementation of the system although it is still being implemented adhoc. This shows that there are other factors and challenges affecting the implementation of the system.

In summary, chapter 1 defined the research problem of poor service delivery in the areas of social services and good governance seemed to be a result of adhoc implementation of EPMDS in the department. The introductory chapter also provided different arguments on how coordination and management of activities can contribute to service delivery through the effective implementation EPMDS and how best services delivery could be achieved. The policy perspective is discussed which also provides the background and purpose of EPMDS.

Chapter 2 focused on competing perspectives on EPMDS theory and literature survey. The main purpose was to look at similar studies conducted on the topic and identify gaps and challenges that exist and make suggestions on how they can be dealt with if possible.

The main purpose of chapter three was to provide a discussion on improving of service delivery through an integrated approach in the department of Social Development, Eastern Cape. The chapter also looks at the background of service delivered and the current shift towards social development approach and levels of service delivery and provides linkages of integration and EPMDS.

In chapter four, a description and an analysis of data was provided in more details. The main purpose was to provide a presentation of research findings and to provide an assessment whether the results relate to the research problem and guiding assumptions outlined in the introduction chapter. The presentation of the data gathered and analyzed was divided into five categories which include knowledge and awareness on EPMDS, internal and external factors hindering implementation of EPMDS, factors enabling fully implementation of EPMDS, mechanism that can enable the effective implementation of the EPMDS and challenges facing the implementation of EPMDS.
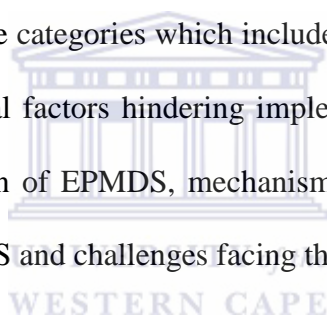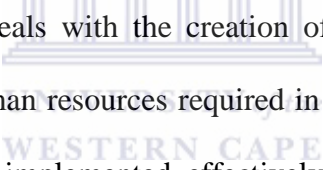
Chapter five focuses on some definitive conclusion and recommendations deduced from the study

Recommendations based on research findings

One of the research objectives is to investigate the challenges facing the implementation of EPMDS such as lack of training and knowledge of the system by employees of the department. It was necessary to look at awareness and knowledge from the perspective of employees. Interestingly, the findings revealed that there is high level of knowledge on EPMDS. However, the research revealed that there is a greater need for the department to train the new employees coming to the system and

retrain the current employees on the proper implementation of the system particularly those that are responsible to provide leadership and accountability in ensuring that the EPMDS is implemented in their unit or sections.

The further training that should be provided must just not be awareness but must include the practical side and be a formal training. In addition a simple guide in the form of booklet should be developed and provided to all employees at all levels within the department as the study indicated that some employees do not have access to the manual guide. The continuous training of all employees who join the department can be done in the induction programme so as to ensure that when they compile their first performance agreement they know exactly what is required.
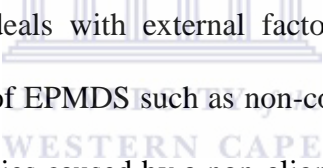
The other recommendation deals with the creation of an enabling environment as provision of physical and human resources required in ensuring that service delivery is improved and EPMDS is implemented effectively. The little improvement of service delivery is not a result of EPMDS. Rather, it is because people have been promoted and they want to make difference to the improvement of service delivery and performance of institution. However, the department must make sure that there is a proper plan and alignment of human and physical resources. The existing gap between the human and physical resources must be aligned, so as to allow the situation whereby resources are appropriately allocated for the employees to perform their functions. This gap has been created by non-alignment of resources within the medium term expenditure framework (METF)[17]. The department needs to make sure that there is a balance between resources and continuous planning which is aligned to

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[17] Medium Term Expenditure Framework (MTEF) budget cycle linked to a financial year.

the MTEF. In this manner, internal factors hindering the process on implementation of EPMDS will be solved and an enabling environment will be created.

The negative contributory factors towards the performance of individuals that lead to frustration and a decline in moral of staff, resulting in underperformance which produces no outcomes can be eradicated. However, this study recommends that everything possible should be done to strengthen the relationship amongst the supervisors and supervisees through strategies such as team building, proper communication and establishing uniform institutional arrangements and meetings throughout the district offices. This will avoid a situation whereby employees feel and experience that there is no proper communication within the department.

The other recommendation deals with external factors affecting the poor service delivery and implementation of EPMDS such as non-cooperation of stakeholders and role-players, unplanned activities caused by a non-alignment of operational plans and HIV/AIDS and Poverty in the entire Province. The co-operative relationship between NGOs, local municipalities and inter-departmental[18] units regarding the issues of social problems can assist when it comes to implementation of right based services that the department has to deliver within legislation. The co-operative approach can assist in complementing resources and provide assistance.

The next recommendation deals with effective implementation of EPMDS through total compliance within the requirements of policy and stopping ad-hoc implementation. The department has a strong information management system and it

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[18] Inter- departmental refers to all National and Provincial government departments.

has its own chief directorate with budget and personnel. This study indicated the ad-hoc implementation of EPMDS by non-compliance in terms of not adhering to time frame concerning the compiling of performance agreement, assessment reviews, non-uniformity on the criteria utilized for employees performing the same functions and assured quality on performance agreements.

The study recommends that an electronic version of EPMDS be developed by the department utilizing its own chief directorate on information technology with the same key results areas (KRA)and key performance areas (KPA)[19] for employees performing the same functions according to their levels. The electronic version of EPMDS will promote quality of performance agreements and ensure that there is a single approach which is utilized to assess the performance of employees.

The electronic version will also assist and serve as monitoring tool for the effective implementation of EPMDS in the department. The regular monitoring and assessment of EPMDS electronically will assist with compiling and reviewing performance agreements timeously as system will be closed during the cut off date and not allowing any sign off that can be backdated. This would allow and assist in identifying those officials who do not comply with the stated objectives of EPMDS, and, thus, they could be dealt with them appropriately by the Department of Social Development.

The above recommendations should be enforced to ensure the effective implementation of Employees Performance Management and Development System.

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[19] Key Performance Areas are the end results of what we need to deliver within the next year.

In turn, the effective implementation of EPMDS would ensure that the service delivery and good governance are improved in the department.

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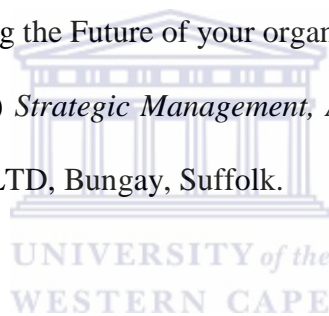
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Appendix A

Relevant Legislations

Basic Conditions of Employment Act 1997

Constitution of Republic of South Africa (Act no 108 of 1996)

Inter-governmental Relation's Act 2005(Act no 13 of 2005)

Labour Relation's Act of 1995 (Act no 75 of 1995)

National Welfare Act 1978 (Act no 100 of 1978)

Occupation Health and Safety Act (OHSA) (Act no 85 of 1993)

Protected Disclosure Act, 2000 (Act no 26 of 2000)

Public Finance Management Act (Act no 1 of 1999)

Public Service Act (Act no 103 of 1994)

Public Service Amendment Act (Act no30 of 2007)

Public Service Commission Act 1997
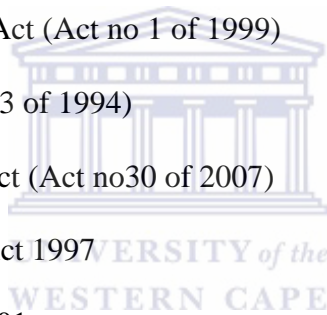
Public Service Regulation, 2001

Skills Development Act, 1998 (Act no 97 of 1998)

Social Services Profession Act, 1978 (Act no 110 of 1978)

White Paper on Human Resource Management in the Pubic Service 1997

White Paper on Population Policy for South Africa, 1998

White Paper on Social Welfare 1997

APPENDIX B

Name	:	Siphiwo S Makasi
Student number	:	9249227
Course	:	Masters of Public Administration
Supervisor	:	Professor J.J. Williams
Topic		A perspective on the implementation of Employee's Performance Management and Development System at Department of Social Development in Eastern Cape Province.

A. Background Information

1. Male ☐   Female ☐

2. Where are you stationed? e.g District or Head office
……………………………………………………………………………..

3. How long have you been with the Social Development?

1-5 years   ☐   11-15 years   ☐

6-10 years   ☐   16 years and above ☐

4. How many staff members are you supervising?
…………………………………………………………………………

B. Employee Performance Management and Development System

5.1 Are you responsible for implementing EPMDS at a supervisory level?

Yes	No
1	2

5.2 Are you aware of the Employee Performance Management Development handbook/guide?

Yes	No
1	2

5.3 Do you own or have access to handbook /guide?

Yes	No
1	2

5.4 Have you received training on EPMDS?

Yes	No
1	2

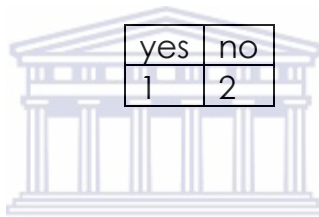5.5 If yes, has training assisted in implementing EPMDS?

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5.6 Do you require further training on EPMDS?

yes	no
1	2

5.7 Please read the following statements and tick (✔) next to those you agree with:

1. The main objective of an EPMDS is to improve service delivery
2. EPMDS does not apply to all employees ,only a selected few
3. EPMDS provides clarity to all employees on their role in the achievements of the Departments objectives
4. The EPMDS is a punitive tool and not development
5. The supervisor decides when to evaluate performance of the staff members.
6. The department strategic plan, regardless of its format, is a non negotiable for EPMDS to succeed.

6. Have you fully implemented the EPMDS in your office?

yes	no
1	2

7. If not, what are the internal factors in your district that or office (e.g., policies, leadership, attitude, culture, etc) that limit or hinder the implementation?
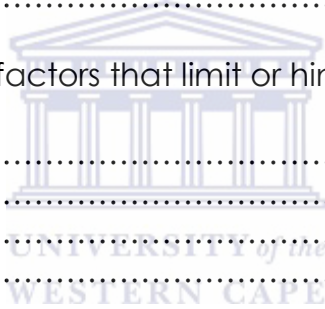
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8. If yes, list the main factors that enabled you to fully implement EPMDS?

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9. What are the external factors that limit or hinder implementation of EPMDS?

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10. What challenges do you face with regards to implementing the EPMDS?

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11. What in your view, needs to be done to implement EPMDS effectively?

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Thank you, for completing this questionnaire. Your input is highly valued

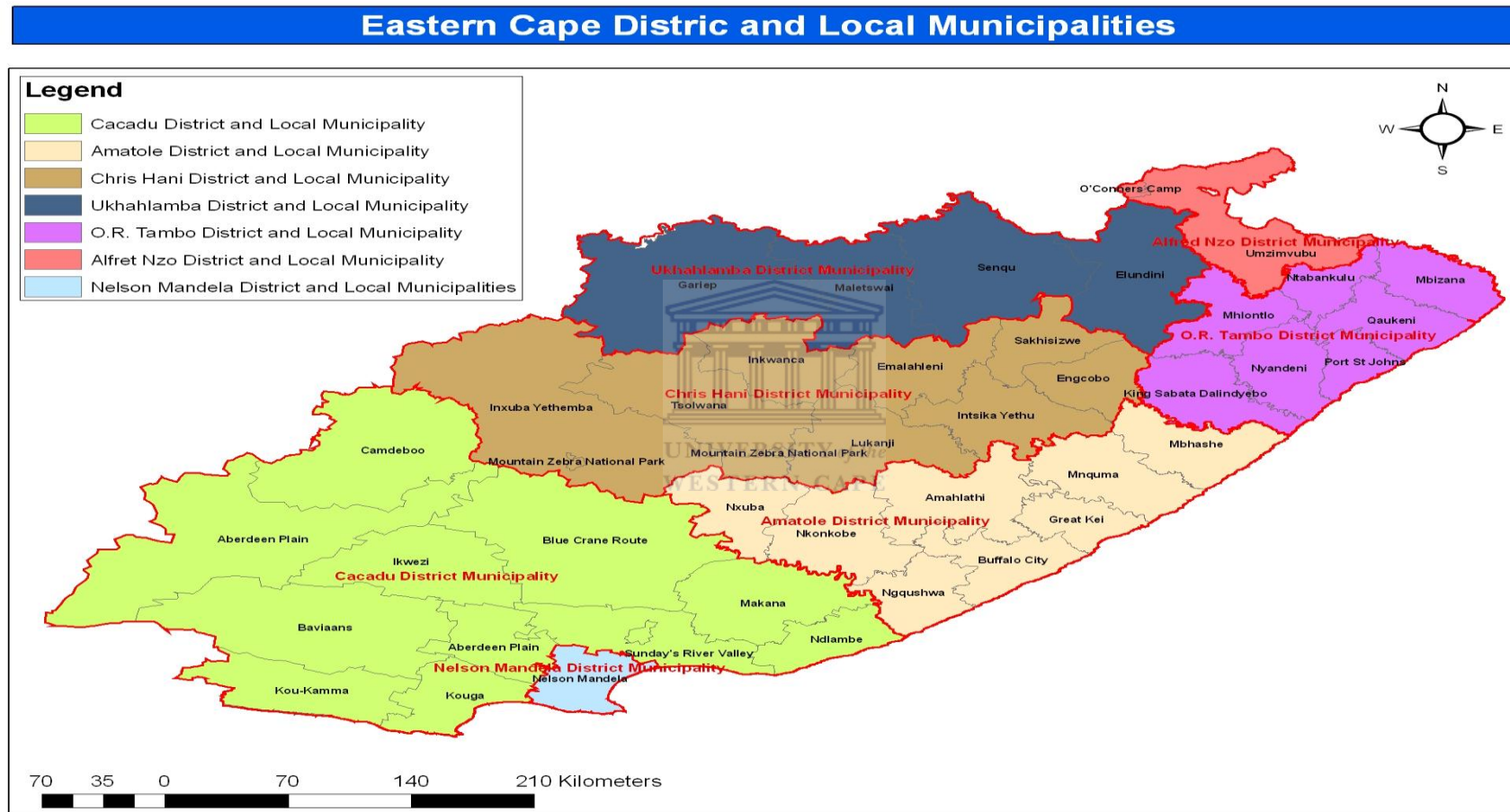**APPENDIX C**

INTERVIEWEES

Assistant Director: Human Resource Development, Department of Social Development, Eastern Cape Province, Bisho.

Chief Director: Developmental Social Welfare & Acting Head of Department of Social Development, Eastern Cape Province, Bisho.

Director: Human Resources and now a Director Strategic Planning & Policies, Department of Social Development, Eastern Cape, Bisho.

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APPENDIX D

Source: Census 2001, Province and Municipality Boundaries