

**AN EVALUATIVE STUDY OF THE PERFORMANCE MANAGEMENT  
SYSTEM IN THE SOUTH AFRICAN POLICE SERVICE, CAPRICORN  
AREA IN THE LIMPOPO PROVINCE**

By

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**DECLARATION**

I hereby declare that **THIS DISSERTATION** is my own work and has not previously been submitted or incorporated in another dissertation or thesis for any other degree.

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## **Chapter 1: General orientation of the study**

### **1.1 Introduction**

The performance management system (PMS) appears to have brought hesitation, frustration, misunderstanding and poor performance among members of the South African Police Service in the Capricorn Area since its introduction in 2000. It seems that members of the South African Police Service (SAPS) particularly have a negative perception towards the system. The purpose of performance management is to implement an organization strategy. It also facilitates organizational cultural change and provides inputs to human resources systems such as development and remuneration (Pieterse: 2002).

The National Instruction 1/2002 Performance Management in the South African Police Service states that the main aim of introducing performance management, which was a cooperative project between the Swedish Police Service and the South African Police Service, was not to punish, disregard and demote the employees, but to enhance their performance standards and to achieve the organizational objectives. However, many members of the SAPS are scared of being subjected to a performance appraisal exercise, which is an integral component of the performance management system. As a result, there is little progress relating to the implementation of performance management system in the Capricorn area of the South African Police Service (South

African Police Service National Instruction, 2002). This study intends to investigate the experiences of the SAPS in the Capricorn area relating to the design and implementation of the performance management system. It is contended that since the introduction of performance management system in the SAPS, Capricorn area, staff members have been dissatisfied with the system, and there has been limited progress in the implementation of the system.

## **1.2 Statement of the problem**

The National South African Police Service resolved to adopt the performance management system in order to ensure operational efficiency and effective service delivery. As a result, the Swedish Police Service's support in the design and implementation of the system was sought. Ultimately, the SAPS performance management system was designed and adopted, and all efforts were geared towards the implementation of the system in all organs of the SAPS.

The implementation support entailed training of selected officials and information dissemination. Despite the efforts of the National SAPS to support the SAPS in the Capricorn area, the implementation of the system claim in the area has not been impressive. Those who were trained in this system claim that they did not understand the system, and some officials did not come to work when the National SAPS was conducting monitoring and inspection of the system implementation in the Capricorn area. In addition, the

submission of quarterly feedback reports to the National SAPS has not been in line with the performance management reporting cycle. Some feedback reports provided incorrect information. Furthermore many employees of the SAPS Capricorn area appeared to be ambivalent about the implementation of the system as they regarded it as a punishing rather than a developmental tool.

In the early phase of its implementation, some of the employees perceived the performance management system as something that could be applied over a month. This conception of the implementation of performance management over a month was premised on the perspective that performance management was a project rather than an integral part of management, in which good performance, corrective measures, discipline and promotion could be recognized and implemented, and employees could continuously receive moral support and encouragement. This unimpressive progress concerning the implementation of performance management in the SAPS Capricorn area raises a major scientific question: What are the challenges faced by stakeholders in the implementation of the performance management system in the SAPS Capricorn area?

### **1.3 Motivation of the study**

The researcher was inspired to undertake the study after the observation and personal involvement with the implementation of the performance management system in the Support and Operational Services sub-function of the SAPS in the Capricorn area. Many members of this sub-function

seemed to be less concerned with issues relating to the implementation of the performance management system. The supervisors that were trained did not evaluate their subordinates and consequently the knowledge acquired during training did not benefit their subordinates and the organization. This kind of conduct disadvantaged employees and the organization in achieving its strategic objectives.

#### **1.4 Aim of the study**

The aim of the study is to investigate the challenges experienced by the SAPS Capricorn area stakeholders in the implementation of the performance management system.

#### **1.5 Objectives of the study**

The specific objectives of the study include:

- To trace the history of performance management in the South African Police Service;
- To examine how the SAPS' performance management system was designed;
- To establish whether the design of the system took into consideration the cultural context of the SAPS;
- To identify the key stakeholders and associated roles and value propositions in the implementation of the performance management system;

- To analyze the implementation process of the performance management system in the National and Capricorn area SAPS;
- To determine the perspectives of the stakeholders concerning the challenges facing SAPS Capricorn in the implementation of the performance management system; and
- To explore and suggest areas for improvement in the implementation of the South African Police Service's performance management system.

#### **1.6 Research questions**

The study was guided by the following research questions:

- What is the culture and history of performance management in the South African Police Service?
- How was the performance management system of the SAPS designed and implemented?
- How has the performance management system of the SAPS been implemented?
- What challenges is experienced by the stakeholders in the implementation of the performance management in the SAPS?

- How can the performance management system contribute effectively to service delivery in the SAPS?

### **1.7 Significance of the study**

The findings of the study will benefit the top management of SAPS, the organization, the personnel as well as the public that the SAPS serve. The researcher will also gain more knowledge and understanding of the challenges facing organizations in the implementation of the performance management system, thus adding to the body of scientific knowledge. The National South African Police Service and the Swedish Police Service, (the sponsor of the project), will also benefit from the findings of this study.

### **1.8 Research methodology**

This section of the proposal is key to the research process, as it controls the study process, dictates the acquisition of data, arranges the data in a logical manner, sets up means of refining the raw data and finally issuing conclusions that lead to the expansion of knowledge.

#### **1.8.1 Type of research study**

The researcher used exploratory research, as the information available regarding the impact of the performance management system on the South African Police Service employees is not adequate. So the current study intends to obtain the primary information about the

challenges faced by stakeholders in the SAPS Capricorn area in the implementation of the performance management system. In exploratory research, the researcher uses the qualitative data collection technique to explore the new knowledge, ideas, new insight, new understanding and new meaning.

This exploratory research provides the researcher with the opportunity to satisfy her curiosity and the desire for better understanding and also to test the feasibility of undertaking a detailed and focused study. Furthermore, Babbie (2001:85) states that exploratory studies are valuable in social scientific research since the researcher is able to break new ground and yield new insight into the topic for research. Neuman (1997:19) also views exploratory researchers as creative, open minded and flexible in exploring all sources of information.

### **1.8.2 Research design**

This is a case study of the challenges experienced in the implementation of performance management in the SAPS, Capricorn area. The researcher does not expect the findings from this study to be applied universally. The intention is to identify the challenges in the implementation of the performance management system within a specific organization and area context. However, other organizations can still draw valuable insights and lessons from this study despite the different organization and area contexts.

### **1.8.3 Area of the study**

The SAPS Capricorn area is comprised of 19 police stations, 6 specialized units and 6 components reporting directly to the area Commissioner. The main office of the SAPS Capricorn area is situated in Lebowakgomo, which is about 50 kilometers south of the Polokwane City. The personnel strength of men and women of the SAPS Capricorn area, appointed in terms of the Police Act and Public Services Act, are 2414 in number. Among these employees there are facilitators, supervisors and subordinates in the implementation of the performance management system. All these stakeholders constitute the key subjects of the research.

### **1.8.4 Population**

This is a study of the challenges facing the Capricorn SAPS in the implementation of the performance management system. Therefore, the study population consists of 19 police stations, 6 specialized units and 6 components.

### **1.8.5 Sampling method**

A stratified sampling procedure was employed in this study. An examination of the study population shows that three strata can be discerned, and these include 19 police stations, 6 specialized units and 6 components. Beyond this stratification, a proportional random sampling was applied to select 6 police stations, 2 specialized units and 2

components. From these selected stations, units and components, data was sourced from stakeholders such as officials (managers, supervisors and subordinates), unions and portfolio committees. The largest stakeholder group was employees in these selected centers i.e. 6 (six) shop-stewards from selected stations, 1 (one) at area components, 40 (forty) supervisors and 60 (sixty) non-supervisory employees at selected stations, 10 (ten) employees at specialized units and 10 (ten) at area components. This means that a total of 5% of the total employees of 2414 was randomly selected and interviewed; maintaining proportional representatives were among the selected centers. The other stakeholder group representation was identified through a contact list of stakeholders and a snowball referral system.

#### **1.8.6 Data collection methods**

The main tool for data collection was interviews. Key representatives of stakeholders were identified and interviewed. These key informants were selected on the basis of their involvement and broader understanding of the performance management system. In addition, these informants were organized into groups for the purpose of conducting focus group discussions. The group discussions were preceded by the key informant interviews, and this provided the researcher with the opportunity to verify data from the informants and collect additional data. A checklist of key issues for investigation was formulated, and this checklist was used during the interviews and group

discussions. As part of the interviews, a structured questionnaire was designed and it was used during the interviews with a sample of employees.

The researcher also collected and reviewed documents relating to the performance management system. The documents that presented generic information about performance management system informed, *inter alia*, the conceptualization, theoretical framework, methodology and analysis. Those documents that specified the performance management system of the National and Capricorn area SAPS are be central to this investigation. Some of the documents include the performance management policy, guidelines, training manual, job descriptions and performance contracts.

#### **1.8.7 Method of data analysis**

This is largely a qualitative study. As a result, the researcher used content analysis. This means that the qualitative data obtained from interviews and group discussions was transcribed and coded with the intention of identifying the key themes. However, quantitative data was also collected, especially through a structured questionnaire. In analyzing this quantitative data, a descriptive statistical analysis was employed.

## **9. Structure of the dissertation**

This dissertation is organized into five chapters and they include:

- Chapter 1 - Introduction of the study, statement of problem, motivation of the study, aim of the study, significance of the study and research methodology.
- Chapter 2 - Literature Review.
- Chapter 3 - The Performance Management System in the South African Police Services.
- Chapter 4 - The Design and Implementation of the Performance Management System in the SAPS Capricorn area.
- Chapter 5 - Summary, Conclusion and Recommendations.

## **Chapter 2: Literature review**

### **2.1 Introduction**

This chapter focuses on how various authors explain and discuss the reasons behind the introduction of performance management in the private and public sectors. Instead of the performance management having maximized performance benefits, employees argue that it often creates bureaucracy, stems innovation and damages professionalism. Despite these weaknesses, some of the employers are presently adopting strategies for turning performance measurement into a useful instrument that can benefit the senior managers, supervisors and subordinates.

### **2.2 The nature and importance of performance planning**

Nicolas (2002) says that coaching works with the performance plan to keep employees motivated. The first phase of the performance plan comprises of goals or objectives. Therefore, the manager and the employee must set target dates for reaching goals. The standard of performance is essential, for the quality of results in achieving each goal. The performance needs to be measured to determine whether the targets are being met or not. The determination will also be on the time that the performance has met the expectations. If it is not met or if shortcomings are identified, the development plan must be established.

The performance management comprises of three main processes i.e. planning, improving and reviewing. With regard to planning, the organization's vision and strategy as well as the definition of the performance are formulated. The performance management is a support to the organization's overall business goal by linking the work of each individual employee or manager to the mission of the workplace. Nicolas (2002) indicated that the Income Data Services (1994) also sees it as a tool to develop the potential of the staff, improve their performance through linking an employee's individual objective to business strategies, to improve the company's performance, to identifies performance management as being introduced for improving organizational effectiveness, motivating employees and improving training and development. Therefore to have an effective performance management, performance planning must take place on an agreement on key results and objectives or performance targets have to be established on the basis of organizational goals.

Pieterse (2002) says that when planning for the performance the supervisor sets the standards on what is to be achieved in terms of the organizational strategy and operational plans, starting at the top of the organization. A contract with the subordinates has to be signed by both parties. A feedback on performance should be based on the performance plan and this plan may also serve as a basis for output evaluation. Subordinates should be given an opportunity to perform and to ensure that the necessary resources are used. By dealing with subordinates personally, supervisors

can determine directly or indirectly whether reward or punishment motivates the subordinates. If subordinates deviate negatively from the set standards, this constitutes negative impact on the implementation of the performance management system. Negative deviations may sometimes be caused by lack of ability or unwillingness to perform. In this case the developmental plan must be compiled for those who lack ability and formal in house training. Academic education, coaching and self study may be applied as remedial steps.

The Performance management Government Policy Framework, April 2004, which is a product of the portfolio committee of the provincial government, also explains that its purpose is to customize the principles and framework of performance management in order to provide policy measures and guidelines for the improvement of departmental and individual performance and service delivery. The development of the performance management system is focused more on addressing and measuring performance of the department (from both strategic and operational perspectives) directorate, unit or team as well as individual levels. Its objectives are as follows:

- To align employees performance to the departmental strategic and operational goals;
- To provide a systematic framework for performance planning, performance monitoring and review a performance assessment;

- To promote culture of responsibility and participation through open dialogue about goals and the achievement as well as personal development and performance improvement;
- To provide a framework of assessment for identifying good and poor performance and to act through development, recognition and rewarding of good performance;
- To focus more on employee training and development and
- To develop performance improvement plan for managing under performers or unacceptable performance.

Nicolas (2002) and Pieterse (2002) share the same views and practices in implementing performance management system; in terms of planning they collaborate with what the South African Police Service is currently practicing. In terms of the performance enhancement process that is the implementation tool of performance management system in SAPS, the supervisor and the supervised employee agree on the performance plan about what is expected from the employees in accordance with the strategic objectives.

The performance plan comprises of Planning, review and feedback as well as evaluation and assessment. The output standards are also set in terms of quantity, quality time frame and cost efficiency whereby each and every output has to be measured utilizing a rating scale of 1 to 5 (rules of the game). During the review and feedback phase the supervisors determine as to whether the subordinates are achieving or not. If they are not achieving, the

developmental gaps must be identified and the concerned employees are referred to training. The researcher also agrees with Nicolas (2002) when he states that coaching works with performance planning as it is the duty of the supervisor to mentor, coach, counsel and train the employees during the annual cycle of Performance enhancement process (PEP, if there is a need.

### **2.3 Success factors for performance implementation and monitoring**

Pieterse (2002) states that performance management focuses mainly on both the job content and the relationship between the supervisors and subordinates. He defines performance management as a process whereby the manager is planning, directing and improving the performance of subordinates in line with achieving the overall objectives of the organization. By so doing, the organization employs people with the aim of delivering the services resulting from their skills and good conduct. He sees performance management as an ongoing process; it is not something that is applied once a month. This includes things like giving recognition, initiating corrective measures, i.e. training, discipline, promotion, provision of moral support and encouragement to subordinates.

Meyer (1999) indicates that supervisors as mentors are typically experienced and knowledgeable senior employees who guide other less experienced individuals. A mentor provides career development services by coaching and

providing psychosocial support such as counseling, friendship and role modeling.

The performance management system is not meant for only government departments but also for private sectors. Performance consultants are responsible for forging partnerships with clients so that the performance improvement could be achieved in their organizations. Their aim of implementing performance management is to enhance human resource goals and productivity. He also regards performance management as a tool for providing individuals with a clear view of their performance at work, (Meyer 1999).

In this regard, resources must also be allocated to the employees for performance improvement and the formation of partnership with the management. If performance gaps amongst clients are identified, training is conducted so that the traditional performance can move towards elements of change. The performance consultants must also have the ability to apply project management skills to monitor the process and progress of change and this will result in the performance improvement process that will bring transformation.

Keith (1995) explains the importance of training, rewarding, motivating and disciplining employees as key to organizational success. It is also very important for the organization to have specific practices in the implementation of performance management system that is

integrated with the organizational strategies. This may lead to a fundamental change or transformation in the traditional methods of managing employees. Function jobs and tasks are broken down in the belief that this brings efficiency and specialization.

In addition, management should specialize in planning and organizing work so that the employees can effectively do it. One of the techniques of designing jobs is to decide on task fragmentation, i.e. to break down complex operations into their simple component activities and standards are set to control and measure performance. He also designed a tool that determines the performance of each activity to be in a best way and finally train and reward employees for outstanding performance, (Keith 1995).

Swanepoel et al. (2003) describe performance management as an ongoing process that involves the planning, managing, reviewing, rewarding and development of performance, while performance appraisal systems are systems of measurement i.e. a specific form with certain written rules and procedures controlling its use. In the performance appraisal, employees' strengths and weaknesses are identified, observed, measured, recorded and developed. It also serves the purpose of achieving organizational goals to an extent that decisions on administrative issues such as human resource planning, reward, salary and wage increase, merit bonuses, promotions, transfers, dismissals and retrenchment are taken. It also involves developmental issues arising from the feedback of strengths and

weaknesses and on how to improve future performance, career planning, providing remedial interventions and organizational development.

The concept of performance management signifies an attempt to entrench performance appraisal as a legitimate and integral part of a manager's job of getting subordinates to effectively achieve the results and goals expected of them. The strategic planning cycle must also be aligned with performance management. Supervisors and managers have to assess on an informal basis how well their subordinates are doing their work. The assessment will assist supervisors to make necessary decisions regarding the effective utilization of staff by motivating those who perform well and rectifying substandard performance. The supervisor may also give performance feedback to an individual employee.

Amos and Ristow (1999) explain that success or failure of any business depends on the ability of the management to manage effectively. He further states that the performance of every individual has to be managed effectively so that the goal of small business is achieved. A business entrepreneur ought to assess the job performance of individual employees on a continual basis and provide performance feedback. The business owner will provide feedback to employees so that poor performance is rectified and staff is motivated. Appraising performance means that individual performance is assessed to gather formal performance feedback on the employee, to develop skills of employees, to identify promotable employees, pay

progression as well as administering performance incentive rewards. A standard of performance has to be established for each and every task and the criteria of evaluation. The employees must also be aware of the standards and criteria for evaluation of their job and determine when and by whom employees are to be rated. The developmental area might be identified during the assessment and the individual employee needs to be developed so that his/her performance is improved.

Managers need to understand why people work and must be able to create the conditions under which they work productively. Since people join organizations to satisfy certain needs. They remain effective members of the organization, and at the end get rewarded with salary increase, fringe benefits, spiritual and social benefits such as self-development, self-actualization and sense of achievement when the set objectives are achieved both the individual employees and the organization benefit.

The South African Police Service practices also collaborating with what Pieterse (2002), Swanepoel (2003) and Amos Ristow are practicing. The authors indicates that developmental areas of employees be identified and the employees be developed and improve the performance in a sense that the organization is also benefiting from their development by having improved service delivery. The tool is not meant for punishing the employees but to assist them in achieving the objectives of SAPS. The performance enhancement process was implemented in SAPS with the

purpose of having the performance of every individual controlled and monitored. As the supervisor is the mentor of the supervised employee, mentoring ensures the building and improvement of relationship, mutual trust and respect between the supervisors and the employees.

Through out the process of monitoring the performance of the individuals, developmental needs are identified and corrective measures are taken for the employees who have performed better during the evaluation and assessment phase, they are recognized, promoted and rewarded. This good performance is determined during the meeting whereby marks are allocated in terms of the strengths and weaknesses of the employees.

#### **2.4 Performance Review and appraisal**

Performance Management Government Policy framework, (2004) explains that performance management is necessary as it is a systematic process of planning work, setting expectations and standards, developing a high skilled base of staff members, changing organizational culture that strives towards excellent performance and service delivery. The performance instrument and tool must be used to assess the performance of each and every individual employee whereby supervisor and supervised employee meet each other for assessment using balance scorecard. The supervisor of the next level shall act as a moderator to ensure consistency and fairness. The assessment process (i.e. planning, feedback and evaluation) will take place on quarterly

basis. These results will also inform performance improvement plans for the next cycle.

A copy of the assessment will be filed and outcomes of employees' performance shall be communicated to the employee in writing, if the performance is unsatisfactory, the reason must also be given. The employee shall sign only if she/he is satisfied and with the results he /she may refuse to sign if he/ she is not satisfied. The employee must make an appeal about unsatisfactory assessment results and a representative of a trade union may assist the employee.

The under-performing employees who are on probation should be trained or retrained, counseled, coached, redeployed to another section, warned, the probation period extended to a maximum of six months and if all this failed, then confirmation of appointment can be done at a lower level. Regarding employees who are permanently employed, the supervisor must monitor them and implement corrective measures. If the under-performance continues, the supervisor will lodge a grievance and disciplinary steps may be taken. Determination of whether the employee is under performing due to lack of experience, skills, knowledge or attitude should be done. Suitable actions should also be recommended.

Effective performance management can also be represented by an annual cycle that comprises of performance assessment. This happens when the actual performance is compared with

the expected (agreed) performance whereby the key performance areas are to be reviewed and evaluated by the job holder as well as the manager on a quarterly basis. The outcome of the employees' performance must also be communicated to them irrespective of whether it is good or bad. If the employees performed poorly, corrective steps must be taken. A commitment to the desired actions and acceptance of developmental objectives must be done.

Michael and Robert (1976) define employee appraisal as a formal observation of employee performance as well as the level of performance in a job. It is regarded as a tool for managerial control. Employee appraisal is seen as a continuing year round dialogue where pay is also recognized.

Mc Gregor (1976) sees the performance appraisal as an administrative, informative and motivational process. He identifies the following the main functions of appraisal:

- To enable the organization to share money, to promote fairly, to discover learning needs by exposing inadequacies and deficiencies that could be remedied;
- To ensure that employees reach organizational standards and objectives;

- To develop individuals through advice, information and shaping their behavior with praise or punishment; and
- To add to employees job satisfaction through understanding their needs.

Gerber et al (2002) indicates that performance appraisal provides the opportunity to evaluate human resource. Therefore important decisions are made on information provided by performance appraisal and feedback is given for further development of the staff to promote a healthy relationship between the management and the staff as well as to improve their future performance. He also regards performance appraisal as processes through which the quantitative aspects of an employee's work performance are evaluated. The appraisal system is used to measure how well an employee is performing a job.

Individual employees may be rewarded for their performance in a sense that they are motivated to achieve organizational goals. Strengths and weaknesses of the individual will also be identified and be rectified by means of training.

The performance appraisal system enables the manager to decide as to whether:

- The pay will be increased, to determine the future use of an employee, if the employee shall be retained in the organization for his or her present job or be transferred, promoted, demoted or dismissed; and
- To indicate the training needs i.e. the areas of performance where improvements would occur, if he or she needs training and to motivate employees to do better in his or her job, by communicating performance results to the employees, and be awarded with merits.

The behaviour and the performance must be evaluated because poor results are the consequence of insufficient skills. While measuring the performance a criteria against which performance is measured must be followed to ensure that the criteria is linked with organizational goals, the job and employees needs that are taken into account. Feedback on how the employee has performed is very important to the employees, as they want to know what their future with the employer would bring.

They also use the rating scale technique to measure the performance of the employees. They developed the behavioral anchored rating scale to reduce the bias of subjective performance measures. This instrument contains between six and ten performance dimensions that are anchored by positive or negative behaviour (Gerber et al 2002).

De Bruijn (2002) further argues that the idea of introducing the performance measurement tool is that the

organization should formulate the expected performance and indicate how the performance is measured. It may also indicate whether the expected performance is achieved and what it costs. Many organizations use performance measurement in counting the products that are generated. As result, performance must be planned, achieved and measured. Performance measurement further forces organizations to formulate targets for various programmes for which they are responsible and state the period within which they must be achieved.

It creates a mood of transparency by agreeing on goals publicly. It also assists an organization to learn what it does well and where improvement is needed. The organization management appraises the performance of individuals and identifies positive and negative sanctions. Many managers feel uncomfortable when judging the means that their subordinates accomplish their goals. Other managers find that getting together with subordinates for evaluation is very difficult, while others are shy to provide feedback because they fear emotionally oppressed situations.

Management by objectives (MBO) has proved to be a useful vehicle for increasing the quality and quantity of communication between line managers and subordinates concerning responsibility objectives, plans and results. Management by objective (MBO) focuses its attention on task results. Furthermore, performance management involves having in place systems and methods that translate the goals of strategic management into individual performance

through human resource management. This includes appraisal of individuals as well as planning and influencing their future performance through targets and development. Performance management is concerned with the manager's relationship with the individual, the appraisal process and motivation. He further states that a well designed system of performance appraisal should pursue the setting of targets for different aspects of job performance, the identification of training needs as well as evaluative objectives against what are considered to be desirable standards.

The individual objectives are determined and set to support the achievement of the business strategy. An employee's performance should also be appraised against every objective that should be linked in an effective and reliable way with the department and objectives. Informal feedback, coaching, mentoring and counseling of employees contributes to improved performance and the development of employees. Performance Management forms a linkage between performance appraisal and the reward system.

Drucker (1995) emphasizes the important role of goal orientation in the management process that is management by objectives. MBO means that the management must, with the help of subordinates, formulate clearly defined objectives and develop plans for the achievement of these objectives. Continuous evaluation must take place to determine whether there is progress in terms of the achievement of objectives. Management by objectives (MBO) is linked with

growth and development in order to be in line with change and development. It was always used as an aid for performance appraisal for motivation some few years ago. It can be defined as the process whereby top management formulates goals for the business and the lower management levels and workers participating in development of department and individual goals and objectives within the framework of the business goals.

The goals and objectives can serve as motivation and can be used to continually measure progress and to take corrective action. Management by objectives lies in participatory process whereby managers and subordinates can jointly plan together and set objectives and standards in terms of the overall goals and employee's responsibility against which progress and final performance can be measured.

Subordinates act individually when performing tasks and applying self-control whereas managers are provide them with support. A specific time is determined within which the objectives must be achieved. Regular feedback on the progress towards the objectives places the subordinates in a position to continually evaluate their activities and to correct them. Performance appraisal takes place periodically during evaluation interviews between the manager and the subordinates.

The aim of evaluation is to measure the subordinate's own performance continually and compare it with the laid down standards, enabling him to take corrective actions.

Performance appraisal is done to measure employee's performance for the purpose of salary increases, promotion, training programs, method improvement and discipline. It is therefore, seen as a systematic method of training and development, promoting, transferring, demoting, dismissing and salary adjustment. Managers use objectives to motivate rather than to control subordinates. This means that members of staff know exactly what is expected of them and how their performance is going to be measured. If the subordinate failed to achieve his objectives, the reasons for failing must be determined. Poor training, lack of motivation and personal problems may lead the subordinate not to perform as desired. The manager must suggest corrective actions to minimize the cause. Good performers should be rewarded and poor performers require discipline.

As the implementation of Performance enhancement process (PEP) in South African Police Service is aligned with the Performance management Government Policy framework, April 2004, the culture of South African Police force was also changed to 'service'. The PEP is the tool that the SAPS are using to implement the performance management system to suit its circumstances. During the Review and feedback phase the supervisors and the employees exchange the feedback and review their performance. The views of Gerber (2003) and Michael & Roberts (1976) collaborate with that one of the SAPS as follows:

- During the evaluation and assessment the supervisors compare the current performance with the output standards

set on a quarterly basis. The employees' ratings or scores allocated must be communicated to the employees and a consensus must be reached.

- If it may happen unsatisfactory performance is determined from the employees and consensus not reached, the disagreement form has to be completed and referred to the counter signing officer for finalization.
  
- To those who are under performing and redundant, disciplinary action is taken. Developmental plans are also drawn for those who lack skills and knowledge.

## **2.5 Reward system**

Pieterse (2002) states that in relation to the performance reward, a subordinate who is deviating positively will be rewarded by means of promotion, pay progression, incentives and recognition of performance, i.e. the remuneration of the subordinate will be adjusted or rather she or he will be paid a once off performance bonus. These positive and negative deviations will be measured by an evaluation system.

A qualitative and quantitative measurement shall be used to measure performance i.e. qualitative evaluation comprises of essay and ranking whereas quantitative comprises of rating scale. The supervisor should avoid rating errors such as halo effect, leniency, strictness, central tendency

error of logic, similarity contrast and political considerations when evaluating his subordinates.

Beardwell and Holde (1997) says too much attention has been paid to the introduction of performance management systems to motivate and reward managers who contribute to strategic goals and objectives and to punish those who fail to deliver expected performance levels. The author here differs with the Pieterse (2002) when he says that the system tends to benefit only the managers with motivations and rewards. The system is presented in a form of a cycle, i.e. setting of performance objectives, measuring outcomes, feedback on results, rewards linked to outcomes, amendments to objectives and activities.

The cycle is linked to financial rewards in a form of shares, income differentials, profit sharing schemes and bonuses. The performance management systems must be seen to reward personal development and achievement which may lead a number of organizations to link their systems of reward to the attainment of high level of competence, which is one way of overcoming the judgement and irresponsibility of assessment. Developmental needs are identified in performance appraisal.

This is about how the manager and the employee give feedback information about the current level of performance, enabling them to identify and negotiate adjustment or further developmental needs. Young and old managers need to be encouraged, praised and reassured that

their skills and experience are valued and appreciated particularly in the area of coaching and mentoring.

Nicholas (2002) states how workers motivate themselves. He urges that employees gain motivation through financial incentives, which enable them to better their lives. Employees must adopt a notion that their productivity on the job benefits them in a uniquely personal way and that their job performance makes lives better in many ways. The manager can apply a motivational tool that can encourage employees to self-motivation i.e. praise, bonuses, promotion, positive performance review, positive feedback, paid holiday, opportunity to travel, increases in job responsibilities and challenges, equipment upgrade, gifts, educational training, mentoring, public, acclaim are some of the ways that the manager can reward his/her employees for a job well done and spur them on to further productivity.

Herman (1996) uses performance appraisal as an instrument to manage the performance of the employees. It is a systematic judgement used to support salary increases, promotion, transfers, demotions or terminations. Therefore performance appraisal is used as a way of reviewing the work of every individual and determining whether or not the person is successfully carrying out the functions of the job. The personal performance is to be measured and a feedback to the organization concerning problems of productivity and training methods should be provided.

The purpose of implementing performance management appraisal is not for punishment, but for the development of employees as it is success-oriented. The supervisors and evaluator should only rate the person and his/her job success so that the ratings should be used to help improve the employee's performance. Interviews with the supervisor and the employees should be held to discuss positive items first and then discuss the areas that need improvement. The well-done employee evaluation is an important tool in promoting good morale and assisting the organization to meet its objectives. Good performers deserve money as an incentive reward. Those employees who did not make it in terms of standards set should be retrained, counseled, transferred or dismissed. Grote (2002) defines performance appraisal the same way as Herman (1996). He also sees performance appraisal as a formal management system that provides the evaluation of the quality of the individual's performance in an organization. The supervisor is required to fill in a standardized assessment form that evaluates the individual on his/her performance whereby the results of evaluation are discussed with the employees.

It is an ongoing process and not merely an annual event. This is done on phases like performance planning whereby the supervisor meets with employees to plan for the work and set standards for the expected performance. Performance evaluation takes place when the supervisor has to provide coaching and feedback to the individual based on how he/she carried out his key responsibilities on the job. The employer is encouraged to increase the probability of

success as well as performance assessment where the supervisor and the employee meet to discuss how well the person has performed over the past twelve months.

A feedback is also provided to the performer. Good performers fill the most important positions through promotion and receive more pay, while poor performers who did not meet the organizational standards are counseled, mentored or coached. The supervisor also confronts them for not meeting the organizational expectations.

The South African Police Service views the implementation of the reward system in a similar way with Pieterse (2002), Nicolas (2002), Grote (2002) and Herman (1996). The reward system introduced in the SAPS benefit the employees performed or achieved the output standards with pay progression, promotions, incentives, and ex-gratia. The system also benefits employees who have scored 3-5 annual ratings and those who are rated 1 and 2 should not be rewarded. Immediately the employees receive the rewards they become motivated and increase their performance; thereby the organization also benefits in achieving its objectives.

According to Beardwell & Holde (1997), the system benefits only the managers and those who did not make it are punished. In the SAPS, the system benefits (every one) who has performed well regardless of his/her position. The system is not meant for punishing those who did not make it but to develop them so that the service delivery is

improved. Those who did not achieve the output standards are retrained and provided with counseling.

## **2.6 Conclusion**

In this chapter, various authors described and discussed the meaning and the purpose of performance management system, its benefit to the institution as well as to staff. The PMS is viewed as a formal vehicle to manage, measure and improve the performance and potential for advancement of managerial and professional employees, where the organization will be advancing in improving service delivery, and employees benefiting by being rewarded. In this respect a healthy relationship between the manager and the employee is crucial. It has been emphasized that employees are expected to have certain job skills, follow orders and instructions and generally be dependent on their leaders or management. Employees identified as having shortcomings or performance gaps must be trained and coached in order to perform better.

**CHAPTER 3: Performance management system in the  
South African Police Service**

**3.1 Introduction**

Public sectors have been under threat to change and compete with private sectors since the 1980's. As with other countries, the South African government departments started to engage in short, medium and long term strategic planning in order to plan for the future since 1994. The SAPS has also changed from its traditional culture of doing things to a more sophisticated culture of improving things, thus striving for service delivery.

The National Commissioner of the South African Police Service (SAPS) has engaged in a process of restructuring the SAPS to facilitate the realignment of organizational strategies with the intent of improving service delivery. Additional divisions were established including Career Management, the functions of which would consist of compliance with the Public Service Management Framework, launched in June 1999 as well as the Police management Framework that was promulgated in April 2000.

Career Management was established with the aim of facilitating and empowering personnel in their career aims and objectives within the context of the needs of the SAPS as an organization. Performance Management as a component of the division: Career Management is required to develop performance management policies, instruments and standards

to evaluate individual performance and to link such performance with developmental opportunities and rewards. The SAPS together with other organizations are facing a performance related cultural challenge. The SAPS' challenge to move from a rule-bound to a result-driven organization will require tailor made instruments that will provide reliable indicators of gaps and best practices in this regard.

Before 1994, the SAPS was known as the South African Police Force, indicating that law and order would be maintained by the use of force, and the performance of the employees was monitored in a different way compared to the current situation. A shift from personnel administration to human resource management was introduced. The White Paper on the transformation of the Public Service was introduced in 1995 with a set of 8 principles of Batho Pele (People First) that are prioritized to transform the public service and its employees.

Improving service delivery is the ultimate priority or goal that the employees of the public service must strive for. The purpose of this white paper is to provide policy framework and practical implementation strategy for the transformation of public service delivery. Since 1994, a critical emphasis on changing the South African Police culture was exercised and the South African Police Force was transformed from a rules bound police force to a result driven police service. Through the introduction of laws, regulations and policies, the South African democratic

government created an enabling environment for the transformation of public services agents, including the SAPS. These included the Constitution of 1996, SAPS Act of 1995, SAPS Amendment Act of 1999, The new SAPS Regulation, White Paper on the Transformation of Public Service, White Paper on Transforming Service Delivery in the Public Service, White Paper in Human Resource Management 1999, SAPS Resolution 13 of 1998, Resolution 3 of 1999, Resolution 7 of 2000 and Resolution 9 of 2000.

In order to implement these laws, regulations and policies, the SAPS has introduced a new management framework for implementation of these legislative, regulatory and policy provisions within the organization, that will encourage transformation and promote improved service delivery. Departments have been encouraged to adapt the management framework to suit their circumstances and needs. The government's objective was not to have every department using similar initiatives, but rather for each department to improve its service delivery by using processes and procedures that suit its own needs.

The National Commissioner of the South African Police Service has also engaged in restructuring the SAPS with the intention of improving service delivery. A new division, Career Management, was created and its functions consist of among others ensuring compliance with the Public Service Management Framework launched in June 1999 as well as the Police Management Framework that was promulgated in 2000. The Career Management Division is required to develop

performance management policies, instruments and standards to evaluate individual performance and to link such performances with developmental opportunities and rewards. Bearing in mind that the SAPS is part and parcel of the public sector one should use the Public Service Management Framework as a point of departure.

### **3.2 Historical background (South African Police Force)**

Since the Public Service Management Framework was launched, it enables the public service to change the way it works, in order to provide better service to its customers. A shift from the SAPS culture which was rule bound to result-oriented was the major priority. The call to improve service delivery means the performance management system has to focus on the following:

- Setting of objectives and timeframe for achievements;

Identifying measurable output and outcome linked to the objectives;

▪

- Linking performance planning to strategic planning; and

Continuous improvement through regular performance assessment, support (like coaching and training) and supporting affirmative action. (SAPS Servamus: 2001)

Since performance is now measurable it reflects the organization's success. Employee performance is fundamental

to other human resource related activities such as whom to hire, to promote, log off and reward. It contributes in meeting the needs and expectations of the community, police commanders and subordinates. Those needs and expectations of the community can be found in the constitution of the Republic of South Africa, but they are also found by making use of managerial attributes of police commanders and members.

These attributes comprise active listening skills, support to clients (the community that the SAPS is serving) consultation, coping with change and ambiguity as well as leading the way in terms of establishing partnerships in the policing of this country. The challenge for the organization (SAPS) lies in the integration of the community policing philosophy into the workings of the organization. In addition, the police managers should attempt to integrate two important sets of expectations between the individual employees and the organization and those between the community and the organization.

### **3.3 Current situation (South African Police Service)**

In order to develop a more reliable instrument for performance measurement, it was necessary to evaluate all the current and previous instruments used in the SAPS. The research done on the previous instrument used by SAPS to evaluate personnel in the senior management echelon for salary and merit awards, established that the instrument was skewed in the level of assessment and did not provide a

clear description in the degree of performance. This resulted in ninety (90%) of personnel being evaluated, performing at level 4 and 5, meaning that ninety (90%) of the senior managers were high performers.

### **3.3.1 Weaknesses of the old performance appraisal instrument**

- The instrument does not indicate the developmental needs;
- There was no link between individual performance in relation to organizational outputs;
- There was no correlation between the community expectations versus individual and organizational performance; and
- The application of instrument reinforced unethical management practices and contributed to a culture of distrust and corruption.

In essence, this instrument showed a culture that supported nepotism, loyalty to an individual and favoured a commander with a narrow perspective to manage a changing environment. A proposal was made to SAPS top management with regard to providing an effective and adequate performance management system for the SAPS.

The key requirements of the performance management system are as follows:

- The system developed must be tested whether it is in line with the policy and regulatory framework;
- The orientation of the performance management process should be developmental;
- The system must link individual and team performance management and development to the strategic goals of the organization and staff development plans;
- The system should maintain transparency and both supervisor and employee should be involved in developing the performance agreement for assessing achievements;
- The process must be fair and supportive of the outcome of the appraisal;
- A separate assessment instrument for different occupational categories of different levels of work should be established, but when assessing an individual employee, a single assessment instrument should be used to assist in deciding probation, rewards, promotion and skills development of the employees;
- There should be organizational support to address capacity development needs or to address barriers to performance identified as part of the process;

- Any assessment instrument should be sufficiently piloted on groups of employees in all occupational categories to enable reasonable validity; and
- The employee organizations should be consulted with regard to any assessment instrument.

The South African Police Service started to set out managerial and administrative responsibilities, operational responsibilities and key operational performance areas. The Performance Management tool for senior managers was also developed. The objective of the tool was to assess the competence of managers in relation to the functions they are expected to perform, identify gaps, if any, and put in place development programmes when required.

The process would facilitate the development of competent management personnel that would enable the SAPS to achieve strategic objectives. Knowledge and understanding of the managers as well as skills and attitude must be measured and assessed in relation to their functions. The performance management and development tool would also test whether the manager has been able to deliver against the key operational performance areas as laid out in the performance agreement.

### **3.4 Performance management appraisal in the SAPS**

In essence, performance management appraisal (PMA) is a shared process between managers, individuals and the teams

they manage. It is based on the principles of management by an agreement rather than command, although this does not exclude the need to incorporate high performance expectations in such an agreement. A uniform and service-oriented approach towards performance appraisal is used to:

- Improve the qualitative results of performance;
- Provide objectives and comparable data, which can be exchanged between supervisor and senior managers;
- Facilitate control of the process; and

Improve and facilitate communication regarding the performance of personnel.

### **3.5 Roles and responsibilities of the managers and subordinates in SAPS (organization)**

#### **▪ Managers**

Managers participate in an open review process. They are having discussions with their supervisor about their performance and objectives. They understand more clearly what the SAPS is expecting of them.

#### **▪ Subordinates**

Supervisors assess their employees. They discuss training and development needs of the personnel. They also assist in

the process of understanding limitations in the setting up of newly defined organizational core objectives.

▪ **Organization (SAPS)**

The organization determines development needs in order to improve the performance of senior managers and supervisors. It also identifies constraints affecting service delivery and helps management to strategize accordingly. The organization provides valuable information regarding organizational strengths and weaknesses, so as to align organizational core objectives timeously.

**3.6 Features of performance management appraisal**

Performance appraisal is based on an agreement relating to objectives, knowledge, skills, competence requirements, development plan, and service delivery with regard to the objectives of the SAPS. It also involves the joint and continuous review of performance outcomes against those objectives, requirements, plans, agreements and implementation of improvement strategies for further development. It further helps in communicating corporate, individual and team objectives and supporting the core values of the SAPS.

It is also a lever for achieving cultural and behavioural change and a means of empowering employees by giving them more control over their work and their personnel development. It provides the basis for performance related

pay. For the system to be open to improvement, it is necessary to be specific about the job requirements, following a pattern of agreeing on performance-reviewing achievements-feedback and review. Trust consensus management and openness are also promoted in the performance appraisal.

### **3.7 Performance appraisal procedure**

Performance Appraisal comprises of ongoing work-related discussions, which take place between supervisor and senior manager throughout the year. The senior manager and the supervisor normally attend formal performance management appraisal (meetings). The meetings include discussion of performance against the following key areas of responsibility:

- Qualitative performance factors;
- Setting and review of annual objectives;
- Improvement actions, training and career development;
- Actions by the supervisor which are needed to assist the manager to achieve the objectives for the coming period;
- Both senior manager and supervisor should prepare for the appraisal discussion by completing forms, entering the ratings;

- The senior manager with the supervisor must prepare for appraisal meetings;
- At appraisal meetings both drafts should be discussed in respect of every section; and
- Areas of agreement may need to be strengthened.

Completed performance appraisal forms should be discussed jointly by the senior manager and supervisor. Both parties may sign a copy of completed performance review forms once they reach agreement and the senior manager keeps a copy. (Article: South African Police Service: Servamus, September 2001)

### **3.8 Conclusion**

Good performance review derives from a consistent evaluation. Feedback is also very important in the sense that it assists in addressing areas of concern. Feedback must be well-timed, be specific, focus on outcomes, take into account the needs of the receiver, be concerned with what or how something is said or done, not why and checked to ensure clear communication. Getting feedback is a valuable opportunity for learning about those areas in which the senior manager needs development or if it is positive feedback, it reassures him/her of strengths that he/she might not be aware of. The survival of the SAPS rests on the compliance with the functions mentioned on

SAPS PEP (Performance Enhancement Process) brochure as per attached as Annexure "F".

## **Chapter 4: Data analysis reporting and interpretation of results**

### **4.1 Introduction**

This chapter focuses on data analysis, reporting and the interpretation of results, using qualitative and quantitative techniques. The use of the aforesaid techniques assists in recording the relative incidence (frequencies) of the theme and the way in which the theme is described. The steps in performing an analysis as spelled out by Welman and Kruger (2004) are as follows:

- The researcher should clearly define the phenomenon to be analyzed. The phenomenon is the challenges faced by the stakeholders in the implementation of performance management system.
- The researcher should define the universe of appropriate interviewees and choose the sampling methods in order to solve the problem concerned either positively or negatively. The emphasis should be on typical or representative rather than on that, which is likely to confirm the research biases.
- The researcher should give a description of the way in which the unit of analysis or responses of individuals should be coded as discussed in Chapter 1.

Two hundred and fifty nine (259) respondents were targeted for this particular research study, and the researcher has

managed to interview One hundred and twenty seven (127) due to the fact that most of the police officials were engaged in operational duties, as it was during the festive season (December 2005).

#### **4.2 Presentation, analysis and interpretation of quantitative findings**

The responses for this research are presented in a positive or negative way in terms of open-ended questions. The responses from the supervisors, subordinates and shop stewards questionnaires are presented in a form of table on Annexure marked B, C, D and the responses on E as per attached appendix.

The presentation of the table below indicates the respondents' biographical information:

**Table 4.2.1 Overall figures of Age, gender, educational characteristics and positions of respondents**

DEMOGRAPHIC CHARACTERISTICS	SUPERVISOR	PERCENTAGES	SUBORDINATES	PERCENTAGES	SHOPSTEWARDS	PERCENTAGES
AGE						
18-23	-	-	2	3	-	-
24-29	2	5	4	5	-	-
30-35	-	-	14	18	7	100
36-41	18	43	26	62	-	-
42-47	17	40	16	21	-	-
48-53	5	12	7	9	-	-

54-59	-	-	7	9	-	-
60-65	-	-	2	3	-	-
EDUCATIONAL LEVEL (STD)						
2-3	-	-	7	9	-	-
4-5	-	-	2	3	-	-
6-7	4	10	4	5	-	-
8-9	2	5	9	12	-	-
10	26	62	40	51	7	100
DIPLOMA	11	26	10	13	-	-
DEGREE	3	7	2	3	-	-
POST LEVEL						
3-4	-	-	41	53	-	-
5-6	-	-	11	14	-	-
7-8	36	86	26	33	7	100
9-10	6	14	-	-	-	-
GENDER						
MALE	39	93	50	64	7	100
FEMALE	3	7	21	27	-	-
YEARS OF SERVICE						
40YRS	-	-	-	-	-	-
30-39	-	-	-	-	-	-
20-29	5	12	8	10	-	-
10-19	16	38	43	55	7	100
1-9	21	50	30	71	-	-

### **4.3 Presentation, analysis and interpretation of qualitative findings**

In this study, the researcher employed the descriptive statistics method to analyze data in relation to the challenges faced by the stakeholders in the implementation of the performance management system and also described means (averages) and variance as well as correlation.

The researcher analyzed and presented data from respondents such as supervisors, subordinates and shop stewards of the SAPS Capricorn Area in a tabular form. Qualitative data was also presented.

#### **4.3.1 Quantitative analysis of respondent's demographic data**

**Table 4.3.1.1 Age composition of respondents: supervisors**

AGE RANGES	18-23	24-29	30-35	36-41	42-47	48-53	54-59	60-65	Total
Frequency	-	2	-	18	17	5	-	-	42
Percentages	-	5%	-	43%	40%	12%	-	-	100%

Supervisors at the age groups of 30-35, 54-59 as well as 60-65 were not interviewed due to the fact that supervisors are too scarce in SAPS. There were no supervisors at the age group of 18-23 as they are entry level probationers. They do not have a performance management system in place and the age group does not have supervisors yet. At the age group of 24-29, 5% ( five percent) of the supervisors were interviewed. Eighty three percent eighty-three (83%) of supervisors at the age groups of 36-41 and 42-47 seem to be the active ones in the SAPS. Those at the age group of

48-53 twelve (12%) were also interviewed and it was found that these employees were appointed in times of the apartheid era and as such, most of those appointed by that time, have obtained a lower level of education from as low as STD 6. They were appointed for the purpose of strengthening the stability during the state of emergency. Some of them are merely waiting for their pension.

**Table 4.3.1.2 Subordinates**

Table 4.3.1.2 AGE RANGES	18-23	24-29	30-35	36-41	42-47	48-53	54-59	60-65	Total
Frequency	2	4	14	26	16	7	7	2	78
Percentages	2,5%	5%	17,9%	33%	20,5%	8,9%	8,9%	2,5%	99.2%

At the age groups of 18-23 and 24-29, eight percent eight (8%) of the employees were interviewed and the above table indicates that most of the subordinates at these groups are the entry-level employees. Therefore, they do not have any PMS in place. Fifty one (51%) of the subordinates at the age groups of 36-41 and 42-47 are promising in implementing PMS even though there is still a huge number of employees at these age groups who are unable to upgrade their level of education. In the age groups of 48-53, 54-59 and 60-65, twenty-one (21%) of the subordinates are just waiting for retiring from the service. They are redundant and they cannot deal with paper work, especially that of the PMS.

**Table 4.3.1.3 Shop stewards**

AGE RANGE	18-23	24-29	30-35	36-41	42-47	48-53	54-59	60-65	Total
Frequency	-	-	7	-	-	-	-	-	7
Percentages	-	-	100	-	-	-	-	-	100%

Shop stewards at the age groups of 18-23, 42-47, 48-53, 54-59 and 60-65 were not interviewed due to the fact that the population was randomly identified irrespective of age group. The lack of the respondents in the age group of 54-65 could indicate that the employees took early retirement packages.

Shop stewards one hundred (100%), at the age of 30-35 are the most active employees in the Capricorn area. This indicates that this age group may take the SAPS Capricorn somewhere in the future if utilized properly. They can adapt to change very easily as they existed in the period of democracy. As labour organization they can guard against unfair labour practices especially on training employees.

**Table 4.3.1.4 Gender composition**

GENDER	MALE			FEMALE		
	SUPERVISOR	SUBORDINATE	SHOP STEWARD	SUPERVISOR	SUBORDINATE	SHOPSTEWARD
FREQUENCY	39	57	7	3	21	-
PERCENTAGE	30%	44%	6%	2%	18%	-

Generally, male respondents dominate females with eighty (80%) whereas female respondents interviewed are only twenty (20%). This indicates that males dominate female employees in the SAPS Capricorn. When appointments of senior posts are made, the equity manager who is also dealing with human resource plan is not invited to form part of the panel because of the lower level he/she is

holding. The researcher is not sure as to whether competent managers and lower level employees are appointed and recruited. It is either authoritarianism or nepotism that prevails in the selection process in Capricorn area, that causes failure in the implementation of performance management system. Affirmative Action is also not practiced to those who were marginalized because of their gender status, i.e. competent females.

**Table 4.3.1.5 Educational qualification**

Education level	Std 2-3			4-5			6-7			8-9			10			Diploma			Degree		
	S P V	N S E	S S W																		
Frequency	-	7	-	-	2	-	-	8	-	2	9	-	26	40	7	11	10	-	3	2	-
Percentage	-	9%	-	-	3%	-	-	10%	-	5%	12%	-	62%	51%	100%	26%	13%	-	7%	3%	-

In terms of the educational qualifications of the respondents displayed on the frequency tables there are still supervisors five (5%) who have obtained Std 8-9 and only sixty-two (62%) of the supervisors have obtained STD 10. Whereas, thirty-three (33%) of supervisors have obtained diplomas and degrees. There are still subordinates who do not have STD 10 i.e. Thirty-four (34%) of the subordinates obtained STD 2-9. This high level of semi-illiteracy may have an effect on the PMS to have progress in the SAPS, Capricorn, because an employee with such a low level of education and without knowledge and skills cannot effectively implement the PMS since it is of high standard. There are those supervisors who are illiterate to an extent that they cannot manage and coordinate the performance management system. Twenty-two (22%) of the subordinates

have obtained STD 2-7. Most of these employees are cleaners, and the most illiterate employees in the SAPS.

**Table: 4.3.1.6 Post Levels**

Post Levels	3-4 Non-Management	5-6 Non-Management	7-8 Middle Management	9-10 Snr Management
Frequency	41	11	69	6
Percentage	32%	9%	54%	5%

The senior management position comprises of the posts that are five (5%), which is a very low percentage. As it has been mentioned previously, there are still supervisors with low educational levels. Consequently the percentage of the senior management cannot increase rapidly due to the fact that illiteracy is still a nightmare. As the PMS is a vehicle for promotion, incentives and pay progression, it will be difficult to align the structure with the needs of Equity plan of the Capricorn area because supervisors who are not competent cannot manage employees. To have a huge percentage of supervisors does not mean that they are all able to manage and coordinate the performance management system to their subordinates; but instead some may cause confusion.

**4.4 Report and interpretation of qualitative data**

In this study, a structured interview schedule was conducted to supplement the quantitative data. Individuals (interviewees) were identified from each group of employees at police stations, specialized units and area components and interviewed with the aim of collecting relevant data that can support the research topic. These individuals were

targeted on the basis of challenges that the stakeholders are facing in the implementation of the performance management system at the SAPS Capricorn and the relevance to the subject of the research.

The following are the interviewee tabulated below:

**Table 4.4.1 Description of interviewees**

GROUP	INTERVIEWEE	CODE
TOP MANAGEMENT AND MIDDLE MANAGEMENT	SUPERVISORS/ MANAGERS	SPV
NON-SUPEVISORY EMPLOYEES	SUBORDINATES	NSE
UNIONIST	SHOP STEWARDS	SSW

Codes are assigned for interviewees to avoid disclosing the interviewees' names in the research report. The questions, the interviewees' responses and researchers' interpretations of the answers are hereunder presented:

**4.5 Data obtained from supervisors (SPV) and non-supervisory employees through interview**

**4.5.1 Old performance management system**

Seventy-six (76%) of the supervisors (respondents) confirmed that they were using the SAP 135 form (Incident report) to report outstanding performance. This form was completed during promotion. Twenty-four (24%) did not know nor remember the instrument which was used for performance management. Supervisors also mentioned that the old system

was different from the new one as the old one was done once and when there was a need, whereas the new one is an on-going process. They also mentioned that they did not know the difference between the old and the new system, as they did not have an idea of what was used previously before the PMS was introduced. And eighty-two (82%) of the subordinates knew the SAP 135 just like the supervisors did. Eighteen (18%) of the subordinates did not remember it and they did not know how they differ. The reason being that some of them were newly appointed and they were not available when the old system was used.

#### **4.5.2 Introduction and communication of new performance management system**

One hundred (100%) of the supervisors agreed that the new performance management system was introduced to them. They mentioned that the introduction was done from 2000-2005. Most of the subordinates ninety-nine (99%) mentioned that it was introduced by the Career Management personnel whereas one (1%) was informed by their immediate Commanders during a lecture meeting at their workplace. The subordinates ninety-nine (99%) indicated that the performance management system was introduced through a three days workshop and one (1%) of them were informed about it during a meeting for some few hours that cannot form a day at all. It has been indicated that the objectives were communicated to fifty-five (55%) of the supervisors and forty-five (45%) were never told about

them. Out of the sixty-two (62%) subordinates knew about the objectives whereas thirty-eight (38%) did not.

Even though many of the supervisors and subordinates mentioned that they were using the Incident Report to report excellent performance, they were not sure whether it was meant for measuring performance. The only thing that they know was that they completed the form when they applied for promotion. It seems that the SAP 135 was implemented in a proper way as it was completed once there are promotions. It has been proven that the old PMS was also an ongoing process even though employees did not understand that fact. It was clear enough that outstanding performance must be filled in the SAP 135 as soon as it has happened or immediately after its existence.

Sixty-nine (69%), of the supervisors and sixty-seven (67%) of the subordinates were impressed by the introduction of the new system. Thirty-one (31%), of the supervisors and 33% of the subordinates did not understand what was supposed to happen and they were panicking about their future, feeling threatened and at a risk of losing their jobs in the SAPS. Ninety-three (93%) of the supervisors and one hundred (100%) of the subordinates confirmed that the PMS was introduced to them but the problem was the manner in which it was introduced. Seven (7%) of the supervisors were well informed about PMS and they understood its objectives. Those who were not well informed were expecting a workshop to be offered but instead they were briefed about the PMS in the lecture

meeting that usually takes  $\pm$  1hour. The training in PMS took almost 3 days in succession. This is the reason why sixty-four 64% of supervisors and subordinates seem to misunderstand the objectives of the PMS.

#### **4.5.3 Performance measurement**

Eighty-six (86%) of the supervisors and fifty-three (53%) of the subordinates confirmed that the PMS really measures the performance of the employees. Forty-seven (47%) of the supervisors and fourteen (14%) of the subordinates did not realize the importance of the Performance Enhancement Process (PEP), as an implementation tool in the SAPS. They totally doubted the validity of the PMS as an instrument to measure the performance of an employee in an accurate way. Supervisors commented that most of their subordinates were also negative towards the system.

Ninety (90%) of the supervisors stated that they know how to conduct planning, to measure and to manage the performance of their employees. Subordinates hundred (100%) confirmed that their performance was measured and managed by their supervisors. The supervisors communicated the scores to their subordinates and the gaps identified. 10% of the supervisors did not measure and manage the performance of their subordinates. Ninety (93%) of the supervisors were experiencing problem of subordinates not accepting the performance measures. This indicates that if subordinates were denying the measurements, there was a doubt that the supervisors and subordinates understand what

they are doing. It was either the supervisors trained were cascading the information, or misunderstood the contents of the workshop with regard to the PMS or they lack confidence in what they were doing. It seems that the subordinates tend to mistrust or undermine the capability of their supervisors.

They all know that the PEP (Performance Enhancement Process) is an instrument to measure the performance of the employees in the SAPS but some of the supervisors' lack the knowledge of measuring and managing performance. The PMS could not be fully implemented with supervisors who do not have knowledge. They were the obstacles to the PMS being known and understood by the subordinates. They need to be trained. Therefore, all supervisors and subordinates must be trained, so that the objective of PMS is achieved.

#### **4.5.4 Performance monitoring**

Ninety-three (93%) of the supervisors confirmed that the performance of their subordinates is monitored on a daily basis by inspecting their performance. Seventy-six (76%) of the subordinates responses collaborate with the ones of the supervisors. Seven (7%) of the supervisors mentioned that they are the supervisors but they did not do the monitoring, instead the Station Commissioners and Unit Commanders were doing it on their behalf. Fifty-four (54%) of the subordinates mentioned that they were not monitored at all.

Eighty-six (86%) of the supervisors and seventy-six (76%) of the subordinates mentioned that they cooperated with each other. There is a difference of ten (10%) cooperation between the supervisors and subordinates. It seems to the researcher that the employees in the SAPS were generally cooperating. But fourteen (14%) of supervisors complained about cooperation with their subordinates and Twenty-four (24%) of the subordinates stated that sometimes they did not cooperate with their supervisors because they measure their performance in their absence and they were rated very low. Ninety (90%) of the supervisors coach their employees to perform better if they have picked up a gap in their performance and sixty-nine (69%) of the subordinates also confirm that their supervisors uplift their morale in terms of under-performance. On the other hand, ten (10%) of the supervisors indicated that most of the time their subordinates does not need coaching as they are doing very well.

Thirty-one (31%) of the subordinates stated that nothing is done by their supervisors even though they were not one hundred (100%) perfect in their performance. The supervisors and subordinates raised a concern that, they were not quite sure that they were implementing and understand the system in a uniform way because most of the employees do not show interest in having the PMS in place.

#### **4.5.5 Performance review**

Ninety-five (95%) of the supervisors review their employees performance on a quarterly basis and five (5%) of them are not doing it. The supervisors compare the actual performance with the output standards set for the tasks and verify the achievements. Employees are then informed about the outcome of the review.

Seventy-six (76%) of the subordinates are in agreement with the supervisors that their performance is reviewed, but in different ways. Those who know the PMS are not happy about having their performance reviewed in absentia. This shows that proper procedure was not followed when conducting the review. This kind of conduct jeopardizes the relationship between the supervisor and the subordinates. Furthermore a high percentage of subordinates seem to lack knowledge in PMS, so training must be offered to them.

#### **4.5.6 Performance reward**

While eighty-six (86%) of the supervisors agreed that the organization has a reward system and fourteen (14%) do not know if the reward system is there in the organization.

Sixty-seven (67%) of the supervisors and one hundred (100%) of the subordinates agreed that the reward scheme is performance-based. Thirty-three (33%) of the supervisors and forty-two (42%) of the subordinates criticized the reward scheme as being performance-based and those who

responded positively confirmed that they even know the benefits derived from the reward scheme such as incentives, pay progression and promotion.

Those who are negative about the scheme preferred the old scheme, as it was benefiting them all, and the new one only benefited particular employees every year. They indicated to the researcher that they have been rewarded several times with the old scheme. It seems that the reward scheme is too much discriminative irrespective of good performance.

Seventy-four (74%) of the supervisors and sixty-nine (69%) sixty-nine of the subordinates have a serious concern with regard to the criteria used to reward employees. They further argued that all employees are performing and they must all be rewarded. Twenty-six (26%) of the supervisors and thirty-one (31%) did not have any serious concern.

#### **4.5.7 Performance auditing**

Eighty-one (81%), of the supervisors agreed that there is a provision for the audit of the Performance management system and nineteen (19%) indicated that they are not doing any audit due to the fact that they do not understand the process of PMS. It has been indicated that every individual's file is inspected to verify if all the phases of the PMS are followed.

Thirty-one (31%), of the respondents have experienced the major issues raised through the audit results and sixty-nine (69%) did not experience those major issues. Supervisors mentioned that when the audit is conducted most of the files were incomplete, where subordinates had to rate themselves, but they did not.

#### **4.5.8 Performance improvement**

Seventy-one (71%), of the respondents refer their employees to training if they have identified development areas from the subordinates' performance. Twenty-nine (29%) do not know what to do with the under-performing employees. Sixty-four (64%) of the subordinates indicated that the intervention of improving performance by the supervisors was taking place and they were advised and coached by their supervisors to improve their performance and their advice was helpful to them. Those who are under performing need assistance through development.

#### **4.6 Data obtained from shop stewards (SSW) through interview**

##### **4.6.1 History of performance management system in the SAPS**

Forty-three (43%), of the shop stewards stated that the SAP 135 form (incident report) was used to record only outstanding performance of employees and fifty-seven (57%)

of them knew the instrument but had forgotten its name. The old system was not clear to every employee of the SAPS.

Most of them indicated that they were not sure or they had forgotten what kind of instrument was used in the previous years before PMS. The system was not effectively implemented. There was a lot of ignorance in the implementation of the old system. Forty-three (43%) of the shop stewards understood the objectives of PMS very well but they have realized that, the instrument is not user-friendly because it is in favour of those who understand English and those who can read and write. For instance, most general workers (cleaners) are illiterate and they cannot understand the system.

#### **4.6.2 Introduction and communication of the new performance management system**

One hundred (100%) of the shop stewards agree that it has been introduced and its objectives were communicated to them. They feel very much empowered because the performance of every employee will be open and transparent to both the supervisor and subordinate. The working relationship will also be improved between these parties.

#### **4.6.3 Implementation of the new performance management system**

Forty-three (43%) of the respondents mentioned that it is user-friendly and fifty-seven (57%) said it is not. Most

of the shop stewards did not concur with the system, as they fear for those who are unable to read and write.

#### **4.6.4 Performance measurement**

Twenty-nine (29%) of the respondents said that it is a suitable tool whilst seventy-one (71%) of them do not agree. A large percentage of shop stewards see this tool to be disadvantageous to both the employee as well as the organization because those who do not understand it hinder the system from operating in an effective manner. This may lead to an increase in the number of complaints by the employees.

#### **4.6.5 Benefits of using the new performance management System**

Ninety-eight (98%) of shop stewards' clients complained of not being allocated with incentive rewards pay progression and even promotion, whereas two (2%) of the employees were rewarded in almost all the benefits. One hundred (100%) of the respondents complained that their clients were not benefiting fairly and equally. According to the shop stewards, the PMS is discriminative to the employees.

One hundred (100%) of shop stewards see the PMS as an obstacle when compared to the old system. The organization is also not benefiting as the employees were demoralized and do not get the incentives that can motivate them to perform better like any other employees who were rewarded, and therefore the standards could not be met. One hundred (100%) of the respondents mentioned that there was no

improvement since the performance management has been introduced. Instead of bringing improvement, there were lot of confusions and frustrations among the employees because the system demoralizes them severely.

#### **4. Conclusion**

The qualitative and quantitative methods were used to collect data from 127 (one hundred and twenty seven) interviewees and the data was analyzed and interpreted. It was found that semi-illiteracy was one of the challenges that the stakeholders were facing in SAPS Capricorn as some of the supervisors have obtained an educational level as lower as STD 6-9, and they were unable to understand, cascade, manage and implement the performance management system.

Furthermore, the organization is entitled to immediately replace the redundant supervisors, who are waiting retirement, with the competent supervisors. The organization must not just appoint employees on managerial positions for the sake of addressing affirmative action (window dressing), but should intensively consider the merits, qualifications, level of training, efficiency and suitability of that particular employee. Fast tracking should also be considered especially to the employees who were historically marginalized (especially females) because of their gender status and cultural background.

The organization must create an opportunity for employment equity appointments and promotions, that does not in anyway displace competency as a main criterion. The subordinate who are still in probation are the group that the SAPS organization could invest on, as they are young and most of the have obtained STD 10 and tertiary qualifications. Therefore, the researcher recommends the restructuring/ redeployment of the SAPS employees at Capricorn area, to place the right employees with the right skills in the right post and to implement performance management in the required manner so that the service delivery could be improved.

## **Chapter 5: Summary of findings, conclusion and recommendations**

### **5.1 Introduction**

In this study, the researcher will reveal the history and the culture of performance management in the SAPS as well as the perspectives of the stakeholders concerning the challenges faced by stakeholders in the implementation of the performance management system. The data collected from the respondents revealed that there is something negative, hindering the progress of the PMS since its implementation.

The researcher will lay out the findings and conclusion of this investigation in this chapter. Recommendations regarding the improvement on the implementation of PMS will also be made. The findings of the investigation are summarized hereunder: -

### **5.2 Findings**

The PMS in the SAPS Capricorn area was introduced differently to the employees. There are those who attended a (3) day workshop and those who were briefed in a meeting and the objectives of the system were not communicated to every employee. The system is beginning to lose meaning to some of the employees. Their immediate impression on the system when it was introduced was very negative because they did not understand it quite well. According to the researcher's observation, some did not show any interest or

even come close to the researcher. They mentioned from afar that the issue that the researcher was investigating was just useless and swore that they would not be interviewed about that discouraging tool.

They further mentioned that those who are benefiting from the PMS might be interviewed. That is the reason why some of them, regard the PMS as a useless instrument to measure and manage performance. The system itself does not have any discrepancy but the manner in which the employees implement the system is a problem.

Lack of monitoring and review of employees' performance is also an inhibiting factor on having the progress of the PMS. The performance of most of the employees is not monitored nor reviewed due to the reluctance of both the supervisors and subordinates. They do not adhere to the due dates, but they respond at the last hour and some after the due date. Some of the supervisors are not sure of what they are supposed to do with regard to the PMS processes. This could cause the information submitted to be false and fraudulent.

The audit of the PMS is not conducted hundred (100%). This may also affect the PMS not to progress since the employees are not sure of what they are doing and as they are not trained and their performance is not checked and audited.

With regard to the reward system, employees are severely affected by the criterion, which was used for rewarding.

This criterion discouraged and demoralized their spirit of performance and they regard themselves as useless to the organization because they have mentioned that the reward is meant for those who are not performing. They have indicated that the PMS is not performance-based, especially on the subordinates' responses.

Shop stewards also support the above statement. Furthermore, they have mentioned that most of the complaints that are handled by the shop stewards are the low allocation of marks, incentives, pay progression as well as promotion and yet none of them has been resolved. They also mentioned that the system is not user-friendly; instead it intensifies enmity between the employees and the managers.

The shop stewards also query the criteria of rewarding employees and emphasize that as long as the same criteria were applied, there would be no improvement on the performance rendered by the employees.

The low level of education is also a contributing factor in this matter. Illiterate employees are not productive. They do not have self-confidence in performing any kind of activity hence they are always criticizing the PMS. Resolution 7/2002 was implemented in 2003, with the aim of transforming and restructuring the Public service. Its aim was to place appropriate personnel with relevant skills to be utilized at the right posts and those who are declared to be in excess be re-deployed where the Area Commissioner deemed necessary to be placed. What has transpired at the

Capricorn area was not in accordance with the National Employment Legislation.

The personnel that do not have the relevant skills for particular posts were retained and those who are much competent were declared to be in excess. These supervisors and non-supervisory employees with low levels of education could not implement the performance management system in an efficient and effective manner, as the system is also a challenge to some of the academics.

### **5.3 Conclusion and remarks**

The PMS is an ongoing process, whereby the manager plans, directs and improves the performance of subordinates in line with achieving the overall objectives of the organization. The PMS should benefit both employees and the organization if it is implemented in an effective manner. Lack of competent and skilled employees may lead the organization to a downfall and unimproved service delivery.

Supervisors and non-supervisory employees are supposed to have a healthy working relationship with each other in order to have the strategic objectives of the organization achieved. The negative perception towards the PMS that is prevailing among the employees in the Capricorn, derived from misunderstanding of the system through unprofessional workshops conducted by the supervisors at their stations and units, after being work-shopped by the Area Capricorn, Career Management personnel. Semi-illiteracy and reluctance

of some of the supervisors and subordinates in implementing the PMS are also contributing factors in hindering the effectiveness of the PMS.

The police culture is partially changed to 'service' because there are still employees who have turned to be obstacles to transformation in the organization. The researcher wishes that the current status of the PMS be enhanced and implemented in a successful manner. The effectiveness of this system will depend on the attitude of employees towards the system. It is imperative for the Capricorn area management to groom the existing supervisors to enable them to discover themselves as potential supervisors and not subordinates anymore.

#### **5.4 Recommendations**

From the findings of the research, this study suggests the following major recommendations on the challenges faced by the stakeholders in the implementation of the PMS:

- Similar workshops have to be offered to every employee so that the PMS should be in place and move with the same gear;
- Top management must provide support to supervisors, subordinates and shop stewards by monitoring the implementation of the PMS and address gaps identified;

- The organization is entitled to immediately replace the redundant supervisors, who are waiting retirement, with the competent supervisors.
- The audit inspection needs to be conducted to verify compliance;
- The top management has to restructure/ redeploy the employees and place the right employee with the right skills in the right posts.
- A reward system has to be revised so that every employee's needs be catered for so that there would be job satisfaction and motivation on the employees. The PMS tool has to be modified to be user-friendly to every employee irrespective of having a low or high level of education.
- Finally, SAPS, Capricorn Area has to close the gap of illiteracy as it impedes the improvement of service delivery.

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Appendix "A"

Limpopo Province map:  
Capricorn area police stations.

**Appendix "B"**  
**Questionnaire for**  
**managers/ supervisors**

**Appendix "C"**  
**Questionnaire for**  
**non-supervisory employees**

**Appendix "D"**  
**Questionnaire for**  
**shop stewards**

**Appendix "E"**

**Responses for supervisors,  
non-supervisory employees  
and shop stewards.**

**Appendix "F"**

**Performance enhancement process  
(PEP instrument) brochure**

**Appendix "G"**  
**Application for conducting**  
**a research study.**

**Appendix "H"**

**The approval to conduct a research study at Capricorn area  
issued by SAPS Department.**