Barriers to the effective implementation of the performance management system in the City of Johannesburg Metropolitan Municipality

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In partial fulfilment of the requirements for the degree of Master of Management in the field of Public and Development Management, a research paper was presented to the Faculty of Commerce, Law and Management at the University of the Witwatersrand.

Johannesburg, 2022

ABSTRACT

The goal of this research paper was to pinpoint the barriers preventing the City of Johannesburg Metropolitan Municipality from successfully implementing the performance management system.

The data acquired from the semi-structured interviews with 5 important performance management stakeholders from the City of Johannesburg underwent a themed content analysis. A deeper understanding of the challenges resulted from the themes and shared characteristics found among all responders. This led to the creation of a list of prioritised barriers that the performance management stakeholders considered were to blame for the City of Johannesburg's performance management system's ineffective implementation.

The research findings indicate that “inaccurate measures” is the barrier preventing the City from effectively implementing its performance management system. The second and third most significant barriers are "lack of executive and leadership support" and "lack of rewards. The findings on the Balanced-Scorecard tied to the problems that were uncovered under the “inaccurate measures” barriers.

The main takeaway from this research study is that line managers must actively participate in the implementation of the performance management system at the City of Johannesburg and increase their efforts to reduce the obstacles that prevent the successful implementation of the performance management system at the City of Johannesburg.

DECLARATION

I, Najma Bham-Azam, declare that this research study is entirely original work on my part, with the exception of the sources and acknowledgements cited. It is presented as a partial fulfilment of the requirements for the University of the Witwatersrand's Master of Management degree in the discipline of Public and Development Management.

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CHAPTER 1

INTRODUCTION

1.1 INTRODUCTION

The purpose of this research paper is to assess the successes and failures of the performance management system at the City of Johannesburg Metropolitan Municipality, a Category A Metropolitan Municipality located in South Africa's economic heartland, Gauteng Province. As a result, the paper aims to identify the barriers to effective performance management system implementation in COJ.

According to the South African Constitution (1996:6), there are three levels of government: local, provincial, and national. The three spheres are recognised as distinct, but they are also interdependent and interrelated to some extent. This means that, while they each have different responsibilities in government, they are intricately linked and have a strong influence on one another.

Local government in South Africa is governed by Chapter 7 of the Constitution, which grants it the authority to make and enforce laws. It is made up of municipalities, each of which is recognised as a state organ with executive authority to administer their affairs and create legislation known as by-laws. Municipalities are classified into three types: metropolitan, local, and district. South Africa has 278 municipalities, including eight metropolitan municipalities, forty-four districts, and 226 local municipalities (South Africa Year Book, 2020/21).

Chapter 7 of the Constitution of the Republic of South Africa (1997:152) lists the following objectives of local government: "to ensure sustainable service delivery to communities; to promote social and economic development; to promote a safe and healthy environment; and to encourage the involvement of communities and community organisations in the matter of local government". The status, authority, duties, and makeup of local government/municipalities are all covered in this crucial chapter. Additionally, it describes the structure, functions, and powers of municipal government.

It is clear from the South African public service that despite 26 years of democracy, the country still has difficulties providing essential municipal services (Chikulo, 2008).

In contrast to the prior year, just 8% of municipalities were given a clean audit report by the auditor general in 2018 (Auditor general, 2018). “Service delivery protests are conspicuous, frequently violent, and damaging at the municipal level, reflecting the disenfranchisement many residents feel toward local government” (Chikulo, 2016:57).

According to the Institute of Democratic Alternatives in South Africa (IDASA) (2010), municipalities' failure to deliver basic services not only has a detrimental effect on their residents but also on social and economic development.

The Auditor-General, South Africa (2019/2020) report emphasises the need for accountability and doing the basics right in a manner that will eventually benefit South Africa's citizens in all government spheres. The AG further states that preventative controls should be included in government processes as they remain an essential element of accountability (AGSA Report, 2019/2020).

According to Lukhaimane (2013:22), the government, through its national and provincial departments, is South Africa's largest employer. Therefore, it is vital to take into account the government's performance management system. According to Radebe (2013), municipalities in South Africa use performance management systems and the Balanced Scorecard to improve the effectiveness and efficiency of service delivery and reinforce accountability.

Schneider, Beatty & Baird (1987:93) define performance management as “the process of planning, reviewing, rewarding and developing performance”. Armstrong (1996:76) further states that “these processes form part of the greater performance management process and are expected to be embedded within municipalities' human resource management functions”. Additionally, “the performance measurement process also ensures the identification of internal strengths and weaknesses that the organisation may have” (Lukhaimane, 2013:25).

Amaratunga & Baldry (2002) state that, performance measurement is a technique used for monitoring the advancement of current objectives. Evaluation of performance should concentrate on what occurred rather than why or how to respond.

According to Fryer et al (2009:482), “a number of performance frameworks have been created over time to assess the performance of the organisation”. The Balanced Scorecard has, nonetheless, grown in acceptance. This is because it incorporates a number of financial and non-financial variables to produce a holistic picture of the success of the organisation.

Furthermore, “for performance management to be implemented effectively, organisations may be required to utilise the Balance Scorecard—an evaluation technique used to measure performance during the performance appraisal process” (Fryer, 2009:482). Holzer & Kolby (2005) state that the Balance Scorecard was developed to evaluate an organisation's performance while considering all essential performance measures.

To implement performance management systems throughout all municipalities, the South African government adopted the Municipal Systems Act 32 of 2000. Municipalities are required by the Act to set up performance management programs that are appropriate for their situation (Radebe, 2013). The Municipal Systems Act 32 of 2000 gives municipalities the power to gradually improve the social and economic conditions of their communities and to guarantee that everyone has access to basic services that are reasonably priced.

This study looks into the challenges of successfully implementing the performance management system in the City of Johannesburg Metropolitan Municipality.

1.2 PROBLEM STATEMENT

The Auditor General’s 2019/20 Report of the City of Johannesburg identified the following key findings: poor reporting mechanisms on performance measures; performance indicators not clearly specified and, in some instances, non-existent (MPAC, 2021: 3). According to the Municipal Public Accounts Committee (MPAC) oversight report on the (2019/20:4) annual report of the City of Johannesburg, committee “the reported performance is questionable in terms of its reliability and credibility”.

The existing disconnect between reported performance and what councillors witness and experience on a daily basis can be vast. This concerns the delivery of basic services – water, electricity, and refuse removal – to delays with the construction of much-needed infrastructure and public facilities (MPAC, 2021: 18).

Out of 48 milestones approved in the IDP, 35 were attained, meaning that the city met its predetermined objectives for service delivery performance in 73 percent of cases.

The average performance across all entities was 64%, up from 62% in 2018 and 2019 (MPAC, 2021:20). According to De Waal (2007:102: “there are implementation errors that go undetected in organisations that use performance management systems”. Manville (2007:62) contends that "there is a void in the literature surrounding the implementation of performance management systems and Balanced Scorecards in municipalities".

The fact that behavioural variables of performance are too frequently disregarded is one of the causes contributing to the low success rate of the implementation of performance management systems (Manville, 2007). This in turn has a detrimental effect on how well a performance management system is implemented.

1.3 PURPOSE STATEMENT

This study aimed to pinpoint the challenges facing the City of Johannesburg Metropolitan Municipality's successful implementation of the performance management system. This study paper will help the City and local government organisations by advising them on how to stay away from actions that will make it difficult to implement performance management programs successfully.

1.4 RESEARCH QUESTIONS

Primary question:

What are the barriers to effectively implementing performance management systems in the City of Johannesburg Metropolitan Municipality?

Sub-questions:

What are the successes and failures of the performance management systems?

What are the strategies that are currently in place to combat the effects of the failures?

1.5 SIGNIFICANCE OF THE STUDY

In order to effectively implement the performance management system in the City of Johannesburg Metropolitan Municipality, it is necessary to explore the obstacles that stand in the way. This is the driving force behind the current study.

The study fills a gap in that while there are policies, procedures and step-by-step guidelines, as far as performance management systems are concerned, the implementation thereof seems to be ineffective. This study identifies the barriers that cause the ineffectiveness and equips Budget managers and HR professionals with the right tools to devise strategies to successfully implement performance management systems within their designated organisations.

1.6 CHAPTER LAYOUT

The following chapters are included in this research: chapter one (introduction) introduces the study by providing the reader's background, problem statement, research questions and significance; chapter two (literature review) explores the concept of performance management systems through literature; chapter three (case study of the City of Johannesburg Metropolitan Municipality) provides a detailed discussion on the performance management system and the application of the Balanced-Scorecard at the City of Johannesburg Metropolitan Municipality.

Furthermore, chapter four (research methodology) provides the methods to be used to collect data relevant to the study and explains how the collected data will be analysed to reach conclusions; chapter five (analysis and interpretation of data) presents the responses from the questionnaires, and provides an interpretation of the data presented; and finally, chapter six (conclusions and recommendations) summarises the findings, presents conclusions from the analysis of the questionnaires, and outlines the recommendations relating to the effective implementation of the Balanced-Scorecard and performance management systems at the City of Johannesburg Metropolitan Municipality.

The theoretical underpinnings of the idea of performance management are thoroughly examined in the next chapter.

1.7 CONCLUSION

This chapter provided an introduction to the study by first discussing the background and context of the research, followed by the problem statement, purpose statement, research questions, an outline of the significance of the study, and a chapter layout.

The aim was to provide an overview of the research, as well as a rationale for it. In other words, to explain the “what” and the “why” of the research—what it entails and why it is important.

CHAPTER 2

LITERATURE REVIEW

2.1 INTRODUCTION

The scholarly literature that has been consulted to create the research questions is thoroughly summarised in this evaluation of the literature. The three goals of a literature review, according to Bhattachejee (2012:21), are to "(1) examine the present level of knowledge in the area of enquiry, (2) identify key authors, articles, theories, and conclusions in that area, and (3) identify gaps and knowledge in that research area".

This chapter provides a discussion on new public management in the 22st century; the various approaches to the performance management process, its role within organisations, and how it fits into the strategic management of an organisation; as well as a brief description of the various performance management systems. And lastly, a detailed discussion, derived from scholarly literature, on the barriers to performance management systems' efficient deployment.

2.2 NEW PUBLIC MANAGEMENT IN THE 21ST CENTURY

Public management reform has gained importance during the past 20 years in both industrialised and developing nations. Many nations' search for a new reform model was influenced by the efficient improvement of government in accordance with the constantly shifting demands of society, as well as the financial health of governments and the rising demand for better services (Atreya, 2016). According to Atreya (2016:98) could be attributed to the "widening gap between citizens' demands and expectations for social and economic growth, and government actions to meet the aspirations of its people".

Atreya (2016:101) further states that "the theories and philosophies of the New Public Management were novel in many countries a decade ago, and although being unproven, they were well embraced". The countries that applied the New Public Management (NPM) philosophies quickly realised its impacts on societies. Consequently, researchers have contributed significantly to the body of knowledge on the merits and limitations of NPM concepts (Atreya, 2016). Hughes and Common

(1998) state that academic literature has produced a lot of arguments on topics like the globalisation of NPM.

The term "New Public Management" was developed by Hood (1991:46), who defined it as "an administrative philosophy for governments to be results-oriented and productive". Although they concur that NPM's aim and objective is, according to Hughes (1998:101) "to improve government efficiency and receptivity to community demands", many other academics have regarded NPM differently.

There is much discussion on whether NPM is a worldwide phenomenon or even a phenomenon at all in regard to its globalisation. While some have argued against the global phenomena, the OECD (1995), Osborne & Gaebler (1992), Hughes (1998), and Aucoin (1990) have all argued for the internalisation of NPM. Chueng (1997), for example, challenged the "globalist" understanding of public sector reforms. Cheung (1997) states that there is no ideal procedure to public sector reform applicable to all countries, countries should instead take reform initiatives that are applicable to their own circumstances, and this is what has taken place since the inception of public sector reforms.

Common (1998:57) further argues that “NPM's new global paradigm is still mostly unproven”. It is according to his understanding an “erroneous term for the dispersion of management methods worldwide” (Common, 1998:28). Reform experience in Central and Eastern Europe has rejected the notion of global convergence of the NPM reforms and remains free of its characteristics within its environments (Atreya, 2016).

While some authors have argued against the globalisation of NPM, the topic has received a lot of support from other actors. To assist the globalisation of the topic, for instance, countries have produced official documents and studies. The World Bank and the International Monetary Fund (IMF) have created assistance programs to help in the process of transferring NPM policy to its member countries. The Organisation for Economic Co-operation and Growth (OECD) has moreover been actively involved in assessing the development of performance management in its member countries (Atreya, 2016).

2.3 PERFORMANCE MANAGEMENT

This section describes the various approaches to performance management. A discussion on what performance management is assists in establishing the principal characteristics and elements that guide the effective application of a performance management system in an organisation.

2.3.1 Approaches to performance management

Brudan (2011:109) defines performance management as “a field of study that aids in setting, tracking, and accomplishing both personal and organisational goals”. In the same light, Verbeteen (2008:430) states that “another definition of performance management is the process of setting objectives, choosing strategies to attain those objectives, and evaluating and rewarding achievement”.

Performance management is described in more detail by Amaratunga et al. (2001: 181) as a system “used to help define agreed-upon performance goals, allocate resources, advise managers to affirm or adjust current policy or directions to reach those goals, and share results of performance in achieving goals”. The notion that "the term performance should be employed at several levels, namely; individual, team, and organisational levels" is presupposed by Brudan (2010:101). This shows that management of performance at all levels—individual, team, and organisational—is necessary.

On the contrary, Pillay’s (2007:56) definition of performance management purports that “it is a procedure that managers, individuals, and the teams they oversee all participate in. It substitutes the presumption that only managers are responsible for the performance of their teams with the idea that managers and team members share accountability”. For Pillay (2007), this method supports management by contract and rejects the management by command principle.

Brudan and Pillay’s (2007 and 2010) accounts of where the term is applicable in an organisational setting are rather interesting. The authors are more concerned with who should be assigned to manage performance within an organisation rather than how performance management should be practised. One can argue that performance should be a priority to all the stakeholders of a company to ensure that the overall performance of the company is satisfactory.

For Armstrong (2015), managing staff performance effectively drives staff and organisational growth. A well-structured and effective management version of performance management is achieved by presenting clear objectives for an organisation and translating them to clear individual goals that can be reviewed regularly.

Performance management is an approach to management that "harnesses the efforts of individual managers and employees to an organisation's strategic goals” (Van der Walt, 2006:5). It establishes objectives and the outputs necessary to reach them, secures the commitment of individuals or groups to produce those outputs, and evaluates results.

Amaratunga et al. (2001:182) states that “performance management involves setting performance goals and monitoring and measuring performance in order to help employees reach those goals”. In addition, Verbeeten (2008:430) states that “without rewarding successful performance, performance management would not be a comprehensive process”. However, Verbeteen's definition falls short of giving guidance on how to review subpar performance in conformity with the entire process.

Amaratunga *et al.* (2001: 183) contends that “the objective of performance management should be the improvement of individual, team and organisational performance”. Whether or not performance is satisfactory, its aim should always be to improve, as it is an ongoing process.

According to Tsang (2000), from an organisational perspective, performance management is ultimately the systematic implementation of various tasks that take into account the setting of organisational goals and objectives, the evaluation of employee performance, and the rewarding of employees who have achieved those goals and objectives.

Furthermore, Bacal (2000) adds that to effectively apply performance management, it is important to discuss two issues; the essential elements of effective performance management; and how performance management systems can be integrated or linked to other functions of an organisation.

As illustrated by the above, there is a mutual understanding between scholars on what performance management is. One cannot however, limit the research to only the definitions that have been provided by the scholars, as they are presented in a way that ensures that there is no confusion as to what performance management is, even in opinion.

2.3.2 Elements of the management of performance

In this section, the elements of performance management are discussed. The discussion contributes to the reader's understanding of how a performance management system may be linked to other parts of an organisation. Four elements of performance management are discussed: performance planning; ongoing performance communication; performance diagnosis, coaching, counselling and support (Lukhaimane, 2013).

2.3.2.1 Performance planning

According to Bacal (2000:30), the performance planning process is the starting point of what is aimed at achieving "a common understanding of what the employee is expected to do, what that activity is aimed at achieving (goals) and how such activities ought to be performed (standards)". This is often guided by a manager who assists employees in achieving set goals and overcoming any barriers to performance.

In this case, one can gather that the purpose is to ascertain that there is structure in how the performance management process is delivered. The goal is to ensure that the employees are aware of what needs to be done and also clear any confusion that may exist prior to executing activities relating to the process.

In addition, Neely, Gregory and Platts (1995) state that, in the performance planning stage, it is important to also include a detailed discussion of the performance criteria; one that takes into account the individual employee and the goals that align with them. Furthermore, Bagraim and Werner (2007) emphasise that the performance planning process should always take place at the beginning of a performance cycle, it may consist of one or two meetings between the employee and the manager with aims of reaching a performance agreement between the two parties.

The planning process ensures that the plans are carried out smoothly from the beginning of the performance management process to avoid any issues that may arise during the execution stage. What follows from the planning stage is the continuous communication that will exist between the manager and employee.

2.3.2.2 Continuous performance communication

Once an agreement is reached between the two parties during the performance planning process, the execution of the agreement is tracked through continuous communication and feedback between the manager and employee. Bacal (2000:32) describes this form of communication as a "two-way process that tracks progress, identifies barriers to performance and provides both parties with the information they need to succeed". Finally, the manager is tasked to translate the way in which the employee performed the tasks into a level rating while taking into consideration the nature of the work that was performed, as well as the environment within which the work was performed (Bacal, 2000).

Furthermore, Bacal (2000) states that the data provided by the manager in the final stages of the process is often gathered as evidence in instances where records may be required in a disciplinary hearing where an employee is involved. Nonetheless, Bacal (2000) further states that the most important reason why data is gathered is to ensure that there is improvement in both the individual and organisation in which they work.

One can add that this section of the performance management process is important because it encourages improvement where performance is concerned. Continuous communication between the manager and employee can contribute to the overall success of the activities underpinning the performance management process. It is a stage that one can call a 'trial and error stage'; to ensure that there is continuous improvement based on the information gathered from the communication and feedback between the manager and employee.

2.3.2.3 Performance appraisal

According to Bagraim and Werner (2007), a performance appraisal is a process that allows for a manager to provide valuable feedback to an employee. The feedback emanates from documented records of performance-related meetings between the manager and employee. During this process, the employees' strengths and successes are recognised, developmental opportunities are identified, and barriers are identified to facilitate performance and future performance goals.

Erdogen (2002) further states that for performance appraisals to be effective and useful to organisations, the appraisals need to be perceived as factually fair and correct. In addition, the performance appraisal process needs to be as participative as possible from the employee's end. For Roberts (2003), the process can only be achieved when the manager and employee jointly develop performance standards according to the rating form derived from the employee's overall performance.

It is reasonable to conclude that based on the nature of the performance appraisal process, the information gathered from the meetings between the manager and employee assists in developing the standards that influence performance outcomes where the employee is concerned. This stage provides the organisation with enough evidence to support the modelling of new strategies to ascertain that the performance management process is executed effectively.

2.3.2.4 Performance diagnosis, coaching, counselling and support

According to Bacal (2000:38), performance diagnosis is "the process of problem solving and communication used to identify the underlying causes of any performance shortcomings for the employee". This is where the manager identifies performance-related barriers that may be influenced by personal or interpersonal setbacks that result in an employee not meeting set performance goals.

Bagraim and Werner (2007) further state that the aim of the process is not to discourage or judge the employee but to assess the employee's overall performance and intervene with valuable information to ensure that future performance meets the requirements. The process is, by nature, an ongoing interactive process between the employee and manager, not one that occurs once and never again.

As illustrated by the definitions of the elements above, performance management in nature assumes the following characteristics: it focuses on organisational and individual objectives; it takes into account results and competencies; it is continuous in nature; it is forward-looking in that it aims to improve performance and conduct; it is centred around both the manager and employee; and finally, it is not linear in nature (Lukhaimane, 2013).

Based on the definitions of the elements of performance management, one can conclude that the elements work interchangeably to ensure that the process runs smoothly with the backing of record-based evidence. This sets the tone for establishing how performance management can be integrated with the rest of the organisation's functions.

Employees are primarily at the forefront of contributing their performance towards achieving the purpose of an organisation. As such, the organisation must ensure that the collective performance of individuals translates to improved organisational performance (Lukhaimane, 2013). The alignment between each employee's duties and the organisation's purpose is critical. For this reason, Lukhaimane (2013) states that the organisation should always maintain a link between its goals and the output of employees.

In conclusion, a link between the organisation's goals and employees' outputs should exist for a performance management system to operate effectively. This ensures that performance managers employ proper diagnosis, coaching, counselling and support systems. In addition, performance managers ought to ensure that they meet the criteria in exercising this role to assist employees in achieving performance standards.

2.3.3 Performance management in South African Local Government Authorities

Globally, it is perceived that the delivery of public services is the responsibility of local governments (Walker and Andrews, 2015). Authors have listed these responsibilities as: “caring for the helpless and aged; providing schooling; picking up debris; and maintaining roads” (Mbala, 2016:52). This places services delivery at the forefront of local governments, as a means for development and a way for addressing pressing social issues. In the Republic of South Africa, service delivery complies with the terms and conditions of the Local Government Municipal Systems Act 32 of 2000 of the Republic of South Africa.

Over the years, municipalities failed to accomplish their constitutional and parliamentary duties due to colossal insufficiencies. As a result, the South African White Paper proposed the application of performance management as a national framework to monitor public service delivery in the country (Curtis, 1999). According to the eThekwini Municipality (2008:15) “the goal of performance management is to ensure that municipalities take responsibility for the policies they implement with reference to the delivery of better services as well as financial worth”. For this purpose, performance management ought to be the first and foremost concern for municipalities (Kgechanne, 2013).

Kgechane (2013) further states that, when applied effectively, performance management significantly contributes to the development of service delivery. Cameron and Sewell (2003) have nevertheless noted difficulties in the implementation of the framework in municipalities, although they agree that the concept is innovative and ensures efficacy for developing municipalities. Despite the difficulties that may occur during its implementation, performance management is still a legal requirement for municipalities.

The Integrated Development Plan (IDP), South Africa, is central to the management of municipalities. It prioritises metropolitan needs (a focal point for provincial local governments) and provides guidance on the budgeting and decision-making processes of municipalities (Mbala, 2016). For the performance management framework to succeed, Mbala (2016:54) states that “the IDP must assist in clarifying the implementation processes, ensuring the observance of legislation, promoting responsibility and intelligibility”. Additionally, a plan to determine the outcomes of performance achievement should be in place; taking into account the objectives and initiatives that will inform the performance management system and the IDP (Mbala, 2016).

2.3.4 Performance management systems

In the Global Competitiveness Report (2011-2021), the World Economic Forum ranks South Africa 95 out of 142 countries of labour market efficiency in its seventh pillar of ranking, which observes labour market efficiency. South Africa is furthermore ranked at 130 for pay and productivity.

According to Lukhaimane (2013:22), “in South Africa the single biggest employer is the government through its national and provincial departments”. It is therefore relevant to consider the performance management system used by the government. The public sector is tasked with the delivery of services to the citizens. On the other hand, the private sector provides goods and services for profit.

In this section, the performance management systems used by the public and private sectors in South Africa are considered to ensure that the study is useful. A brief description of each is provided. The systems are namely: the Balanced-Scorecard; the Performance Management and Development System (PM&D) and; the Maximising Performance System (Lukhaimane, 2013).

2.3.4.1 The balanced-scorecard

For performance management to be implemented effectively, organisations may be required to make use of the Balance Scorecard—an evaluation technique used to measure performance during the performance appraisal process. Holzer and Kolby (2005:42) state that the Balance Scorecard was developed to evaluate an organisation's performance while considering all essential performance measures.

The Balanced-Scorecard, according to Kaplan and Norton (1996), is a perfect example of a system that aligns individual employees' performance management to the organisation's purpose. The system was developed by Kaplan and Norton (R.S. Kaplan, 2001) for the private sector to overcome deficiencies in the financial accounting model. The model was ineffective at indicating the organisation's value when making substantial investments (Lukhaimane, 2013).

For Kaplan and Norton (1993:56), the system is an attempt at “focusing an organisations’ strategic planning and performance measurement on outputs that the organisation seeks to achieve and not what projects they are in the process of implementing”. For this reason, the system can also be understood as an effective means at directing an organisation on what needs to be achieved when making decisions.

The long-term challenges of the Balanced-Scorecard are categorised in four perspectives, informed by the organisation's vision, mission and strategy. Kaplan and Norton (1993) emphasise that the four perspectives form a framework that “facilitates the move of an organisation from a vague vision, mission and strategy to practical day-to-day operations”. In this sense, the framework can be seen as a tool that assists managers and employees in identifying what needs to be prioritised to fulfil the organisation's purpose.

According to Kaplan and Norton (1992), the perspectives are typically illustrated as follows: the financial perspective (asks the question: how does the organisation look to its stakeholders?); the customer perspective (asks the question: how do customers view the organisation?); the internal perspective (asks the question: what business processes must the organisation take to excel?); the innovation and learning perspective (asks the question: can the organisation continue to improve and add value?).

The questions are set up so that when answered, they help identify the required performance targets for each measure and initiative (inputs). From that, a strategic plan, including the identified targets, can be devised and then presented to each employee whose activities and outcomes can be traced back to the organisation's purpose (Kaplan and Norton, 1992).

The viewpoints show a well-balanced combination of financial and non-financial variables, one can infer. It is a brilliant technique to take into account everything that could affect how effective a strategy plan is for a company. An important tool for balancing organisational performance measurement is the balanced scorecard. To achieve objectives, it ensures that crucial procedures are explained.

2.3.4.2 The performance management and development system

According to Chapter 4 of the Senior Management Service Handbook (2006:13) "in order to improve organizational efficiency and effectiveness, accountability for the use of public resources, and the accomplishment of results, the public sector developed the PM&D system to manage performance in a consultative, supportive, and non-discriminatory manner". The system links staff development plans with the organisation's strategic goals and also emphasises the system's developmental aspect while recognising outstanding performance.

Furthermore, Lukhaimane (2013) states that to ensure that organisational processes are aware of the activities related to performance management and its continuous improvement, the system is integrated with all other systems within the organisation. As such, the system is conducted from the highest level in the organisation: The Head Department. After that, the content of the performance agreements of employees is informed by strategic and operational plans of the department or business unit.

Lukhaimane (2013:17) further states that "as public sector departments hardly depart from their strategic goals in a revolutionary manner, reviews of achievements over the preceding period form a big part of the output requirements for a current period". As such, the performance reviews of employees often coincide with the planning and budgeting cycle of the department.

Eighty percent of the PM&D system is illustrated in a work plan as follows: key result arears (asks the question: what are the road performance arears of the employee?); key activities/output (asks the question: what would the employee actually be doing?); performance measures (asks the question: what is the indicator for successful achievement and by when?); resource requirements (asks the question: what resources must be allocated to achieve a successful result?); enabling conditions (asserts that: conditions, must prevail to ensure success) (Lukhaimane, 2013).

Upon completion of the work plan, the required performance targets are set for each measure and initiatives that will be established to meet the targets. This process is then translated from the department's strategic plan to that of the business units and individual employees whose activities and outcomes can be traced back to the organisation's goals (Lukhaimane, 2013).

Core Management Criteria (CMCs), which are intended to create a consistent knowledge and expectation of effective management practice, serve as an example of the remaining 20% of the system. The eleven CMCs are "units of knowledge, skill, attribute or work activity completed that are directly related to the effective performance of a job (Lukhaimane, 2013:18).

In conclusion, the performance management and development system focuses on the need to manage performance in a consultative, supportive and non-discriminatory manner—for the benefit of the organisation. This, in turn, ensures that the organisation is efficient and effective, as well as accountable for using public resources and achieving results.

2.3.4.3 The maximising performance system

In order to improve the efficiency and effectiveness of the organisation, accountability for following and promoting organisational vision and values, and alignment of individual employees' performance to the success of the organisation in achieving its state goals, the services sector developed the maximising performance system (Lukhaimane, 2013:19). The system keeps a record of the impact and actions of line managers in translating staff performance and development plans to the organisation's goals. Considerable emphasis is given to line managers responsible for monitoring performance.

For the purpose of informing all the other systems and organisational processes on the continuous improvement of performance, the system forms part of the processes. It is integrated with all the other systems and organisational processes. In a similar way to the PM&D system, the Maximising Performance system is driven from the highest level of the organisation and then narrowed down to strategic plans that inform the business units that in turn inform the content of the performance agreements of individual employees (Lukhaimane, 2013:19).

According to the National Disability Services, Safer Services Toolkit (2017) report, the performance agreements of line managers are split into a non-managerial and managerial sections. The non-managerial section focusses on the technical aspects of the job, while the managerial section is dedicated to managerial competencies.

The non-managerial section of the system is illustrated in a performance agreement and assessment as follows: key results (asks the question: what are the broad performance arears of the employee?); key actions (asks the question: what would the employee actually be doing?); comments and stars (the indicator for meeting the expected performance standard and exceeding it) (National Disability Services, 2017).

On the other hand, the managerial competencies are generic to all line managers within the organisations. They aim to ensure that the organisation's values are implemented and reinforced. According to the report, the five managerial competencies are “coaching, initiating action, decision making, leading through vision and values and aligning the performance of subordinates towards the organisation achieving its goals” (National Disability Services, 2017:57).

2.3.5 Barriers to effective performance management systems’ implementation: derived from scholarly literature

According to Lukhaimane (2013:21) for performance management to be effective, an organisation would have to achieve its mission, vision and strategy by effectively managing the efforts and activities of employees directed at achieving the organisation's goals. This section discusses some of the barriers derived from scholarly literature towards the effective implementation of performance management systems.

2.3.5.1 Lack of integration

The discussion on performance management and its elements and how it links to the rest of an organisation's functions demonstrates the critical role that synergy and alignment between performance management and the vision, mission and strategy fulfils. To ensure that there is integration between the performance of individuals and the organisation's strategic objectives; the purpose of the organisation has to be cascaded from the vision and mission, down to business units, teams and finally, individuals (Lukhaimane, 2013:22).

According to Kaplan and Norton (2000:83), a strategy map is a good tool that illustrates the importance of integration in the context of performance management. The strategy map is described as "a method for describing strategy that is uniform and consistent so that its goals and metrics can be determined. It involves creating a visual representation of the cause-and-effect links between the many parts of an organisation's strategy" (Kaplan and Norton, 2000:84). Through the visual representation (in picture format) of the organisational strategy, the map assists employees in overcoming the lack of comprehension that may arise from a complicated and abstract business strategy.

A strategy map is developed through a six-step process that encourages a simplified and less complicated description of a business strategy that can be shared with the rest of the organisation. The steps are namely: (1) identify the overriding objective, (2) choose the appropriate value proposition, (3) investigate and identify the popular financial strategies to follow, (4) investigate and identify customer-focused strategies, (5) query the way in which internal process will support the execution of the strategies that are chosen; and (6) define the skills that will be required to achieve the strategies (Scholey, 2005:115). The steps help guide the organisation to simplify the description and illustration of the chosen strategy. This ensures that the strategy is effectively communicated to employees.

2.3.5.2 Lack of leadership and executive support

According to Probst and Raisch (2005:64), it is important for an organisation's leadership and executive management to show active support for the performance management system. As such, the effort should come from the leadership team and not individual leaders to ensure that there is a balanced approach in disseminating information throughout the organisation and that the interaction is not limited to one person.

There are instances where the necessary commitments to ensure that performance management is a success are non-existent or underestimated. The lack thereof leads to inadequate time and insufficient resources being allocated to the system, consequently contributing to its ineffectiveness (Cloran, 2011:82). Additionally, Schneiderman (1999:106) states that “the lack of top management commitment has repeatedly been identified as the single most important factor in explaining the failure of organisational initiatives such as performance management”. For a performance management system to be effective, leadership must commit to showing active support for the system.

Furthermore, leadership must also commit to inspiring their teams to strive towards the achievement of the organisation’s purpose; be involved in the implementation process of the performance management system; and sharing sufficient information with their teams in order to successfully and effectively implement the system (Schneiderman, 1999:107).

2.3.5.3 Lack of rewards

According to Lukhaimane (2013: 26), organisations should approach the consideration of rewards in a way that determines what acceptable, unacceptable and superior levels of performance are. Rewards should be comprehensive and clear when communicated to employees and maintain a link to performance outcomes. Bacal (2000:146) further adds that the targets for attaining rewards should be realistic for them to be achievable. There are instances where employees are not motivated to meet performance requirements due to unrealistic targets.

Furthermore, in some instances, where rewards are linked to the organisation’s performance and not to employee performance per se, targets are changed at the end of a performance review with little to no consultation with employees (Bacal, 2000:148). This causes confusion among employees, as they are, in most instances, unaware of the sudden changes that have been effected, and as such clouds their understanding of what is required for them to receive rewards. For Bacal (2000:149), feedback on performance management should be provided as and when activities happen, and rewards should be given accordingly.

2.3.5.4 Overemphasis on performance appraisals

Some organisations misuse the performance management system by focusing primarily on the performance appraisal— a process for evaluating and documenting employee performance (MBA, 2011:46). Organisations tend to only use performance management once or twice a year when it is time to consider rewards, as opposed to tracking day-to-day work and making use of the system every day (Cloran et al., 2011:56). Erdogan (2002:26) further states that, individual employees do not perceive performance appraisals to be fair because they often have to compare their input and output with that of fellow employees in order to determine the level of fairness.

For Mayer and Davis (1999:82), it is often perceived that the manner in which performance appraisals are implemented seldom allows for the recognition of employees' efforts, which in turn does not reward them for their contributions. The problem stems from the management at the top due to their failure to demonstrate the skill and understanding to resolve issues relating to employees and performance management.

2.3.5.5 Lack of communication

Performance management is only effective when employees are clear on what needs to be done, how it is to be done, and for what reason it has to be done. From the communication received, employees must understand where they fit within the accomplishment of the organisation’s goals. This ensures that they are given a platform to share the knowledge of their contribution towards the organisation’s success (Schneiderman, 1999:46). It is, therefore, important to have regular and transparent communication on developments relating to performance.

This responsibility lies in management. Cloran (2011:63) emphasises that management must be trained to deliver performance feedback in a “clear, concise, directed and constructive manner". The performance management system becomes ineffective when managers fail to give negative feedback to employees on time. There are instances where feedback on performance is only provided at the end of the cycle, not as and when needed. This hinders the prompt improvement on work required from employees.

Furthermore, employees often do not trust the knowledge presented by the managers, or their skills, honesty and integrity, due to the delay in providing negative feedback on performance. This, in turn, affects how communication is received by employees, thereby contributing to the ineffectiveness of the system (Audia and Locke, 2004:115).

2.3.5.6 Inaccurate measures

For a performance management system to be effective, it has to measure the right action. Therefore, the targets set to be achieved must align to the correct measurement indicators (Cloran, 2011). For this reason, employee performance should be measured according to the work that is required from employees in terms of delivery and not on generic requirements (Kennerley, 2003:101).

Furthermore, for there to be success when objectives are measured through the implementation of a performance measurement system, objectives must be specific. Doran (1982:67) suggests a simpler and more transparent manner of setting measures: S.M.A.R.T criteria— a guide to set performance indicators that are Specific, Measurable, Attainable, Relevant and Timely.

Additionally, the measures need to be balanced and integrated to ensure they are timely. Ghalayini and Noble (1996; 102) emphasise the need to ensure that measures are reviewed regularly, as they often become ineffective due to the changing environment within an organisation. Furthermore, Neely et al. (1995:78) state that it is also important to select measures according to their level of appropriateness. At the level of an individual, it is important to ask questions that allow for the analysis of each measure, such as: What type of performance measure is used? How much does it cost? And what benefits does it provide? These further determine how appropriate each measure is.

2.3.5.7 Lack of buy-in from stakeholders

When organisations implement complicated performance management systems, stakeholders, especially line managers, often view the system as unnecessary and tedious. As such, they tend to leave all the duties of the system to the HR department; the facilitation, owning and implementation, despite the latter requiring only the active participation of line managers (Oussov, Singh and Vumbukani, 2011:56). This causes the system to be ineffective, as it is the line managers who are best suited to evaluate the performance of employees.

Cloran et al. (2011:114) further add that sometimes the lack of buy-in from line managers is influenced by the lack of confidence that comes from not feeling empowered enough to exercise the right knowledge and skills to contribute towards the success of the system. There is an assumption that HR professionals are better equipped or well suited to deal with the challenges presented by different sectors within organisations, including those relating to performance management.

Nonetheless, performance management is not well supported by employees. Only a few employees believe that the management system for performance in their organisation's assist them in improving the delivery of their work and performance thereof (Gruman and Saks, 2011:78).

2.3.5.8 Failure to diagnose performance problems

Line managers tend to easily pass the blame to their subordinates for poor performance without first diagnosing the barriers to the lack of performance and, in turn, suggesting solutions to help employees improve their performance (Lukhaimane, 2013:30). Bacal (2000:36) defines performance diagnosis as "the process of problem solving and communication used to identify the real underlying causes of performance problems or deficits, for an individual, a department, or even the whole organisation".

The performance diagnosis process is ongoing and requires constant review because it ensures that the correct solution is implemented as and when issues arise to help employees improve their performance. Deficits in performance tend to show when employees fail to achieve the agreed-upon performance targets. In such cases, line managers are required to actively assist employees in resolving issues relating to the deficits (Lukhaimane, 2013:31).

For Bacal (2000:42), some of the examples that might lead to a deficit in performance include: communication that is not clear from management on what needs to be done; lack of resources to ensure that employees perform effectively; and lack of raw materials to ensure that tasks are completed in due time. For Lukhaimane (2013: 34), another factor might be the overwhelming number of key result areas that employees may be required to deliver on, resulting in the inability to deliver thereof. Therefore, in these instances, performance diagnosis becomes vital to overcome performance deficits.

2.4 CONCLUSION

The literature review sought to offer a discussion on the different approaches to performance management; its role within an organisation and how it fits into the strategic management of an organisation. Additionally, the literature review sought to provide a brief description of the various performance management systems, and a detailed discussion of the barriers to performance management systems' effective implementation, derived from scholarly literature.

The literature analysis makes it abundantly evident that a performance management system should be implemented effectively for an organisation to fulfil the goals outlined in its vision, mission, and strategic objectives. Therefore, it is crucial for an organisation to carefully monitor the adoption of performance management systems inside the organisation and to take the appropriate corrective action if necessary.

CHAPTER 3
RESEARCH METHODOLOGY

3.1 INTRODUCTION

This study set out to determine the performance management system's level of adoption across the City of Johannesburg Metropolitan Municipality, as well as to identify implementation challenges and examine the system's effects on service delivery. An in-depth account of a particular program, practice, process, or setting inside several organizations was intended to be provided by the qualitative research approach that was suggested for the study (Mertens, 2012:225).

Interviews were held with the relevant authorities at the City of Johannesburg Metropolitan Municipality to establish the barriers to effectively implementing the performance management system within their organisation. The aim was to collect data that spoke directly to the barriers while highlighting the successes and failures of the performance management system.

3.1.2 Research paradigm: realism

A paradigm is "a model or framework for observation and comprehension which determines both what we perceive and how we comprehend it" (Babbie, 2009:32). A paradigm, according to Guba and Lincoln (1994:56) "is a system of beliefs dealing with fundamental or initial principles". These authors reject the standards that permit the elevation of one paradigm above another because they are sure that these ideas are regarded as the truth.

While supporting the view that there are only two basic paradigms in research—positivism and interpretivism—Hennink, Huter, and Bailey (2011) have argued in favour of a variety of research paradigms. Healy and Perry (2000), in contrast, recognized four paradigms: constructivism, positivism, critical theory, and realism. Similarly, Creswell (2014) identifies the following four advanced paradigms: constructivism, transformativism, and pragmatic post-positivism. The four paradigms put out by Healy, Perry, Creswell, and others are all similar yet have distinct names (Mbala, 2012).

Positivism makes use of quantitative methods for research, while critical theory, constructivism and realism use qualitative methods of research (Mbala, 2012). For this study, realism will be used as a paradigm for the proposed qualitative method of research.

The primary characteristic of the realism paradigm, according to Healy and Perry (2000:120) “is the discovery of a real world or phenomena, regardless of its faults." In the same vein, Creswell (2014:10) asserts that "the realism paradigm is focused on real acts, events, and consequences." This study aimed to ascertain the current state of the City of Johannesburg Metropolitan Municipality's performance management system deployment.

3.1.3 Research methodology

According to Creswell (2014), there are three alternative research approaches: quantitative, qualitative and mixed methods. For Creswell, quantitative approaches focus on using numbers and random sampling, while qualitative approaches focus on describing the phenomenon being studied. Mixed methods combine quantitative and qualitative research approaches.

Research using a combination of qualitative and quantitative techniques is known as mixed methods research. A mixed methods study is one that combines quantitative and qualitative data (Creswell, 2010). Mixed approaches have not been used in this study.

Quantitative research entails gathering numerical data and analysing it using techniques that are mathematically based, most notably statistics, to explain phenomena (Muijs, 2004:1-3). Numerical data are collected in quantitative research.

Bergman (2008:11) states that "observations that are turned into discrete units that may be compared with one another using statistical methods are the foundation of quantitative research. In contrast to qualitative research, quantitative research focuses on the relationship between independent and dependent variables”.

Ghuari and Gronbaug (2002) state that for qualitative research, there are three major components, these are namely: data (often obtained through interviews and observations); interpretive or analytical procedure (often used as a tool to conceptualise and analyse data to arrive at findings or theories) and; the report (presented as either written or verbally communicated).

Additionally, qualitative research studies are typically appropriate for the following goals, according to Leedy and Ormrod (2005:28) "the characteristics or qualities of people, processes, relationships, systems, and even situations; enable a researcher to evaluate the effectiveness of certain policies, practices, and innovations; allow the researcher to gains new insights on a phenomenon being studied, develop new concepts about a phenomenon, and ascertain the causal relationships between phenomena". The lack of numerical data, large sample sizes, objectivity, and structure are just a few of the flaws and limitations that qualitative research might occasionally experience. (Bhattacherjee, 2012).

To fulfil the purpose of this research, a qualitative research method was used to establish the barriers to the effective implementation of the performance management system at the City of Johannesburg Metropolitan Municipality. This is because qualitative research is exploratory and suitable for studies that explore a particular problem.

3.1.4 Research design

Bhattacherjee (2012:21) defines the research design process as "a procedure focused on developing a roadmap of the steps to take in order to adequately address the research issues established during the exploratory phase". For the purpose of this research, the methodological approach that was adopted was that of a semi-structured interview. This ensured that all viewpoints and opinions of the interviewed respondents were taken into consideration, while developing an understanding from the respondents' perspectives of why the performance management system at COJ does not work.

Creswell (2013) further states that, a semi-structured interview enables the researcher to get a more accurate answer from a respondent. A limited number of alternates does not constrain this type of interview, as it provides an opportunity for the participants to openly share their views on a particular subject matter. It also provides the researcher with the ability to tweak and manage the questioning process in a flexible way. For Ghuari and Gronbaug (2002) however, there are disadvantages in conducting semi-structured interviews; they require a skilled and sensitive interviewer who is knowledgeable about the research problem and the factors that influence it.

The reason for choosing interviews as a method for gathering data for this study was to find out which barriers identified in the literature review are prevalent in South African local government and in which form they manifest themselves. This provided an in-depth understanding of the barriers to the effective implementation of performance management systems in South African local government.

The interview process consisted of interviews with performance management stakeholders primarily responsible for performance management roles at the City of Johannesburg. Each interview was 30 minutes long. This ensured that the interviewer was able to collect enough information on the subject matter without the constraint of time. Additionally, the researcher worked from an interview guide (Appendix B) when conducting the research. The guide contained a protocol/introduction section, a brief description of performance management, and a set of interview questions.

3.1.5 Sampling

In research terms, a sample is “a selection of individuals, things, or things made from a wider population for measurement” (Creswell, 2003:46). The sample often has to represent a population in order to enable the generalisation of findings from the research sample to the population as a whole.

A sample of 5 respondents that fit the research's purpose was drawn from the population. The respondents included in the sample were based at the City of Johannesburg.

The study was topical and meaningful to performance management stakeholders. Therefore convenience sampling was employed to ensure that the research did not divert from the viewpoints of the chosen respondents. Additionally, convenience sampling was employed because the researcher needed to follow a procedure in order to access the respondents, and as such, the respondents were selected based on the convenience of access for the researcher.

Furthermore, in order to secure the respondents' participation in the study, the request letter made mention of following: that respondents would be participating in a study that is topical and meaningful to performance management stakeholders; and that the research was to be made available to the respondents upon completion.

3.1.6 Research instrument

For the research instrument—a tool used to "collect, measure, and analyse data related to a research study" (Creswell, 2013:72), an interview guide (see Appendix B) consisting of a list of questions was used to guide the researcher in asking questions that would allow each respondent to answer freely and without limitations. This ensured that enough information was gathered from each respondent in relation to the questions provided.

The interview began with a formal introduction of who the researcher is, what the research is about, and its background and objectives. The respondent was permitted to provide their own description of what performance management is, as well as their understanding on what they perceive as barriers to effectively deploying of the performance management system at the City of Johannesburg Metropolitan Municipality (COJ).

3.1.7 Procedure for data collection

Bhattacherjee (2012:46) defines the data collection process as "a process of gathering and measuring information on variables of interest, in establishes systematic fashion that enables one to answer stated research questions, test hypotheses, and evaluate outcomes". The procedure for this process is the steps that are taken to ensure that the collection is effectively conducted.

Prior to the interview process, the researcher contacted the respondents by telephone to inform them about the research and in turn invite them to partake in the interview. During the call, the respondents were briefed on the purpose of the study, topics to be covered during the interview process, as well as the expected duration of the interview.

Additionally, the respondents were each sent electronic correspondence containing an outline of the research and its objectives. A request letter (see Appendix A for request letter) was also sent along with the correspondence for the respondents to either accept or decline to partake in the interview.

Upon acceptance of the request letter from the respondent, electronic correspondence was sent to thank them for their response. All respondents who accepted the request were given information relaying the place, date and time of the interview. Thereafter, the respondents were offered the opportunity to confirm that their responses are to remain anonymous and confidential.

For the purpose of collecting the data/information, the researcher recorded each interview (upon consent) and also took hand written notes during the interviews.

3.1.8 Data analysis and interpretation

Research data is analysed through a thematic means of analysis. According to Burns (2000), thematic analysis is a type of content analysis that takes into account common and reoccurring themes in data. Leedy and Omrod (2005:142) further define content analysis as "a detailed and systematic examination of the contents of a particular body of material for the purposes of identifying patterns, themes or biases".

For this research, content analysis was applied on the transcriptions of each interview to identify the reoccurring themes, patterns, and biases gathered during the interviews. There were no quantitative means of analysis or statistical techniques used/applied to the results of the interviews.

3.1.9 Validity and reliability

According to Leedy and Ormrod (2005) for every research study, threats to validity and reliability ought to be addressed. In qualitative research, three types of validity are often emphasised, these are namely; descriptive, interpretive, and generalisable. Leedy and Ormrod (2005:62) further state that validity refers to "the degree to which the description holds true meaning"; interpretive validity refers to "how well the data will be interpreted"; and generalisable validity considers "the extent to which the findings of the study can be generalised in other settings".

Validity can either be external or internal. External validity is defined by Lukhaimane (2013:41) as "the extrapolation of particular research findings beyond the immediate form of inquiry to the general". Taking into consideration that this particular research only consists of a limited number of respondents and responses, not randomly selected; the findings cannot be generalised.

For Reige (2003:78), internal validity “refers to the establishment of cause and effect relationships”. In the case of this particular research, the semi-structured interview is likely fail in internal validity due to the nature of its design; it is incapable of manipulating the cause of the effect, both of which are often measured at the same time (Lukhaimane, 2013).

For the purpose of this research, the data collected was valid only upon surety that the respondents were not influenced to respond to questions raised during interview in a way that the researcher would have preferred. Respondents were given the space and platform to answer to questions freely and without limitation. This ensured that the interview was conducted in a neutral manner, allowing the researcher to remain objective in the final analysis of the data.

Furthermore, Reige (2003) shares his understanding of the concept of reliability, by stating that reliability relies on the possibility of replication in research findings. In the case of this research, however, bearing in mind that it is qualitative in nature, replication is not possible. This is due to the fact that respondents are not as static as the measurements that are likely to be used in quantitative research. Nevertheless, in order to ensure that the research was reliable, all interviews were conducted in person. The researcher sought to maintain consistency when conducting the interviews; the same approach was utilised in the interview structure and interview questions.

3.1.10 Limitations of the study

Lukhaimane (2013:40) defines study limitations as “weaknesses within a research design that may influence outcomes and conclusions of the research”. These limitations can exist due to constraints on research design, methodology, materials, etcetera, and these factors may impact the findings of the study.

The limitations for this particular study are as follows: the research is exploratory I in nature and only a limited number of respondents were interviewed; the research relied on the honesty and confidentiality of the respondents; the research was exposed to the possibility of interviewing respondents who may have not been knowledgeable and aware of the topics discussed in the study; and lastly, the was potential for there to be bias from the researcher in interpreting results, whether intended or accidental.

3.1.11 Ethics

Creswell (2013: 26) defines research ethics as "applying basic ethical concepts to research activities, including planning and conducting research, respecting society and others, using resources and research outputs, abusing science, and regulating research". These fundamental ethical principles essentially ensure that there is no breach in confidentiality more so from the way in which the research is conducted.

For Gravetter and Forzano (2006) in terms of research ethics, all research subjects must be treated with respect and candour by researchers. This means ensuring that research participants are provided with detailed information and a thorough description of their role in the research. The information thereof, should enable participants to accept or reject participation. This suggests that before they take part in the research, they should understand the nature and vale of the research they want to participate in.

Colomb and Williams (2008:274) further add that "for research to be ethical researchers should avoid misrepresenting sources, fabricating data, or fabricating outcomes; submitting information they don't think is accurate; satirizing or manipulating opposing viewpoints; deleting data sources or keeping them secret from other interested parties". Fabricating can lead to later research projects being spurious, as future researchers may unknowingly base their research on false data.

Prior to the interview, the to-be participants were provided with a Request Letter (see Appendix A) that acted as a Consent Form, to sign. The Request Letter provided information pertaining to the research; the topic of the research, the purpose and objective of the research, as well as the nature and value that the research would be adding to their organisation. The Request Letter furthermore stated that the research was to be kept confidential and that the recordings were to be made available to the respondents upon request.

3.2 CONCLUSION

In conclusion, the researcher described how authorisation was secured from the appropriate City of Johannesburg Metropolitan Municipality officials to perform the research. The process of creating the questionnaire was described. Target population, sample size, sampling technique, and data collection method were all thoroughly discussed.

A questionnaire was delivered to the City's authorised respondents in order to collect data for the quantitative research design. The poll contained open-ended questions, which were afterwards statistically analysed using methods like frequency analysis and correlation analysis. The importance of ethics in research was also emphasized, with a focus on how the researcher will respect these standards while conducting the study.

CHAPTER 4

CASE STUDY: CITY OF JOHANNESBURG METROPOLITAN MUNICIPALITY

PERFORMANCE MANAGEMENT SYSTEM AND APPLICATION OF THE BALANCED-SCORECARD

South African municipalities are utilizing the Balanced-Scorecard and performance management systems to increase the effectiveness and efficiency of service delivery while also strengthening accountability (Radebe, 2013:56).

The focus of this discussion is the City of Johannesburg Metropolitan Municipality's performance management system and the application of the Balanced-Scorecard. The laws that control the operation of the management system for performance and the Balanced-Scorecard application are “the Republic of South Africa's 1996 Constitution, the White Paper on Local Government, the Municipal Systems Act 32 of 2000, and the Municipal Financial Management Act 56 of 2003” (Lukhaimane, 2013:42).

4.1 OVERVIEW

At the heart of South Africa's economic hub is the Category A Metropolitan Municipality known as the City of Johannesburg, of the Gauteng Province. The municipality is the largest of eight metropolitan municipalities in South Africa in terms of population, size and economy. It shares boundaries with two other metropolitan municipalities in Gauteng: City of Tshwane in the north of Johannesburg, and City of Ekurhuleni in the east of Johannesburg.

Nearly five million South Africans reside in Johannesburg, making up 8% of the country and roughly 36% of Gauteng's total population. According to the statistics, the metropolitan region is sizable and racially varied, and it has a long history of both domestic and foreign migration (District Development Model, 2022:2).

The City has drawn businesspeople and job seekers for much of its history. With $248 billion in wealth, it is the wealthiest country on the continent of Africa. Johannesburg serves as the home base for more than 70% of South African businesses, which generate 16.5% of the nation's income and employs 12% of the labour force nationwide. (District Development Model, 2022:6).

4.2 SERVICES RENDERED AT THE CITY OF JOHANNESBURG

Local governments should be judged on how well they provide their fundamental services, such as housing, education, social services, and environmental protection, as well as public libraries, recreational opportunities, and welfare benefits (Game, 2006). The following services are provided to its communities by the City of Johannesburg: "water and electricity, sanitation, garbage removal, housing, communal benefit services" (Municipal Performance Management Framework, 2009:2-3).

Municipalities that indicate high delivery in the area of services both in education and social settings, are considered to be effective. These municipalities have proven in the past to have reliable leadership and management operations. They manage their finances in a way that is directed at priorities (Game, 2006:438). According to Game (2006), the following factors contribute to municipalities performing poorly: ineffective political and managerial structures, weak ties to the outside world due to a failure to monitor potential changes there, and weak authority cultures as a result of an organization's failure to embrace its culture.

4.3 PERFORMANCE MANAGEMENT

In 2001, the City of Johannesburg Metropolitan Municipality introduced a performance management system. The system was introduced for the purpose of improving service delivery at the grass-root level (Radebe, 2013:41). The Municipal Performance Framework (2009) defines the performance management system as a strategic approach that provides a set of tools and techniques that assist in directing, assessing, measuring, and analysing the performance of an organisation and its individuals.

4.4 OBJECTIVES

According to the Municipal Performance Management Framework (2009), the system's goals in relation to municipalities are; to make sure the City Scorecard is in line with the political aims of the Integrated Development Plan (IDP); to make sure that effective programs are created with the intention of achieving goals and political priorities; to establish strong links between planning and budgeting; to create performance management systems that aim to improve performance; to make sure that responsibility is shared between the community and municipal counterparts; to make sure that learning and development is facilitated for employees; and to make sure that political leaders and managers are aware of any potential risks that may arise.

4.5 THE BALANCED-SCORECARD

As was discussed in the previous chapter, organisations may be obliged to employ the Balanced-Scorecard, an evaluation method used to measure performance during the performance appraisal process, in order for performance management to be performed properly. The Balanced-Scorecard, according to Holzer and Kolby (2005:42), was created to evaluate an organisation's success while taking into account all crucial performance criteria.

The Balanced-Scorecard is applied by the City of Johannesburg Metropolitan Municipality on four levels: group, sector, departmental or municipality entity, and person (Radebe, 2009). The implementation of the Balanced-Scorecard at various levels is examined in the discussion that follows.

4.5.1 Organisational/ City Scorecard

The City Scorecard identifies organisation-specific objectives for performance through a strategic planning process facilitated to attain set objectives that guide how performance goals should be achieved. The Growth and Development Strategy and Integrated Development Plan influence how city-wide objectives are drafted. In the final stage, the objectives are monitored and measured against the City Scorecard. And in addition, the performance of high-level employees is managed through the City Scorecard (Radebe, 2009:59).

4.5.2 Sector Scorecard

Performance planning summarises the end product of organisation-specific objectives converted to working plans. The working plans ought to be initially derived from the Citywide Scorecard or Service Delivery and Budget Implementation Plans (SDBIP) and the five-year Integrated Development Plan. Sector leaders and members are responsible for developing working plans informed by the established objectives, and their collaboration is needed to ensure the process is successful (Municipal Performance Management Framework, 2009:18).

The Municipal Performance management Framework (2009) further states that the development of sector plans should result in developing and adapting sector scorecards. The collaboration of key stakeholders in developing sector scorecards promotes cooperation between municipal departments in implementing IDP sector priorities listed in the Service Delivery and Budget Implementation Plans (SDBIP). The key stakeholders responsible for sector performance are members of the Mayoral Committee. They oversee the implementation of sector scorecards.

4.5.3 Departmental/Entity Scorecard

In essence, the sector scorecard aids the establishment of specific sector priorities within municipalities. Core departments and municipal entities assist in the realisation of these priorities. Through thorough planning, these priorities are translated to Strategic Performance Objectives (SPOs), which are recorded in the individual scorecards of the heads of core departments and municipal entities: Executive Directors, Managing Directors or Chief Executive Officers. Additionally, the department/entity-specific priorities are converted into Functional Performance Objectives (FPOs) for the rest of the employees that work under the heads (Municipal Performance Management Framework, 2009:21).

4.5.4 Individual Scorecard

The Individual Scorecard reviews performance at an individual level. All levels of the hierarchy, including strategic decision-makers of core departments and municipal entities, qualify to be reviewed by the individual scorecard. The individual scorecards are structured to accommodate portfolios that vary at different levels within the municipality (Municipal Performance Management Framework, 2009:22).

4.6 THE EFFECTIVE IMPLEMATATION OF A BALANCED-SCORECARD

An organisation should look beyond the four financial measurements to include other metrics that are representative of the changing environment in order to implement a Balanced-Scorecard effectively. It is important to consider additional pertinent factors that have an impact on the organisation's success, such as competitive technology and cultural considerations (Sharif, 2002:64).

For Halachmi (2005:507) "change management, project management, IT infrastructure development, quality assurance, and risk management” are metrics that need to be taken into consideration when creating a Balanced-Scorecard. Even if they are not given much thought, each of these factors is essential for a Balanced-Scorecard to be implemented successfully.

Inciting a sense of urgency among the stakeholders is essential for the adequate application of the Balanced-Scorecard. Additionally, management must decide that the Balanced-Scorecard will be implemented successfully. Additionally, a significant portion of the organisation's important individuals must share the commitment to apply the Balanced-Scorecard for it to be implemented effectively (De Waal, 2007:8).

Employee motivation, which doesn't seem to be taken into account in the Balanced-Scorecard's four perspectives, must be appropriately addressed for systems to be applied effectively. In essence, workers should receive just rewards (Krause, 2003:7).

In conclusion, the responses of those who implemented the Balanced-Scorecard and others who were impacted by its implementation should be sought after once it has been put into practice. This will aid in identifying the fundamental flaws in the creation and application of the Balanced-Scorecard.

4.7 THE PHASES OF THE PERFORMANCE MANAGEMENT SYSTEM

As discussed in the previous chapter, Lukhaimane (2013) proposes four elements of performance management that aid the implementation of a performance cycle that involves the active participation of managers and employees: performance planning; ongoing performance communication; performance diagnosis, coaching, counselling and support.

In order to adapt these components to their organisation's context, the City of Johannesburg divided the process into five interconnected phases: performance planning, performance execution, performance reviewing and reporting, performance auditing, evaluation and moderation, and managing the process's outcomes. (Radebe, 2013).

4.7.1 Performance planning phase

During this phase, performance objectives at all levels are identified by supervisors and subordinates. This process takes place at the beginning of a performance cycle and consists of one or two meetings between supervisors and subordinates. The interactions culminate in an agreement between the two parties that ensures that the overall performance of the municipality is enhanced. The agreement is, in the end, documented and relayed to the identified individual and organisational levels (Radebe, 2013:58)

4.7.2 Performance execution phase

Following the identification of the individual and organisational levels, this phase executes the performance required to ensure effective monitoring and coaching within the municipality. The progress thereof is reviewed through a means of monitoring. Offering coaching at this stage is imperative in order to encourage employees of the municipality to improve their levels of performance (Radebe, 2013:59).

4.7.3 Reviews and reporting phase

A performance review requires a formal means of reporting that ensures that employees receive feedback relating to the level at which they performed in the municipality. This is achieved through a formal performance appraisal—a process that accesses the degree to which an employee has attained goals that have been agreed upon, and worked to overcome difficulties encountered. In essence, the performance of employees is measured against requirements that have been pre-established in the scorecard (Radebe, 2013:61).

4.7.4 Auditing, evaluation and moderation phase

Employee performance needs to be evaluated. Therefore in this phase, the generated performance outcomes of employees undergo a process of auditing that is complimented by evaluation and moderation processes. The report is moderated and evaluated to reach an agreement that rewards performance (Radebe, 2013:63).

For the Performance Audit Committee to be able to implement trustworthy and legitimate audit processes, it must abide by local government legislation (Radebe, 2013:64). The purpose of the performance audit is to determine whether “the Municipal Systems Act of 2000 is adhered to, the performance management system is in fact operational, and the performance management system measurements are trustworthy" (Municipal Performance Management Framework, 2009:15).

At the City of Johannesburg, performance outcomes are retrieved at the end of each performance cycle. During this process, individual performance is appraised against performance indicators that are reflected on the scorecards (Radebe, 2013). The Municipal Performance Management Framework (2009) states that performance evaluation panels are responsible for performance evaluations; these panels should be established in compliance with local government regulations.

The City Manager and the managers that report directly to the City Manager are required to undergo two panel evaluations on an annual basis. The recommended performance scores are handed over to the Mayoral Committee and the Council for approval only after the second evaluation (Radebe, 2013).

4.7.5 Managing the outcomes

Financial or non-financial reward distributions are outcomes of a performance management process. The City of Johannesburg rewards employees as follows: an all-inclusive remuneration package ranging from 5% to 14% is given to Section 57 employees and MDs/CEOs as a performance bonus for exceeding performance requirements (Radebe, 2013:76).

This phase is important in ensuring that the factors contributing to underperformance are eliminated. The necessary guidance and support are provided to employees who require assistance in improving their productivity levels. The following aspects are considered when managing performance: steps to manage underperformance should be taken as and when required during the performance cycle; decisive action on poor performance that employees have prolonged should be taken at the end of the review process; should an employee fail to meet performance requirements, their contract of employment can be subject to termination (Radebe, 2013).

4.7.6 Managing unsatisfactory or poor performance

Employee underperformance must be managed through assistance and corrective actions. It is possible to decide whether to terminate the employment of under/non-performing personnel by ongoing reviews of those employees.

The City of Johannesburg oversees three primary steps for dealing with subpar performance. Three key and crucial phases are used to manage the underwhelming performance of employees. These phases are described as “identifying poor performance; encouraging performance improvement; and the final evaluation of employee performance" (Municipal Performance Management Framework, 2009).

4.7.6.1 Phase 1: Identifying poor performance

Managers need to determine whether an employee's subpar performance was brought on by illness or disability. In order to handle the matter effectively, the advice is for a superior to decide whether to engage the help of the human resources department. The superior decide if low performance is due to sickness or incompetence. It is the superior's duty to create a working performance standard that will be used, to identify underperformance among employees, and to make sure that the underperformer is virtually aware of the undesirable performance in cases where poor performance is due to incapacity (Municipal Performance Management Framework, 2009).

4.7.6.1.1 Create a performance standard

Employees are held to a performance standard, which should be used as the benchmark for evaluating their performance. Among other things, the Municipal Performance Management Framework (2009:5 indicates that “letters of appointment, induction manuals, direct instruction, tradition and practice at City of Johannesburg are sources of performance criteria".

4.7.6.1.2 Analyse poor performance

Through the results of the performance review, the bad performance is identified. The results of the performance evaluation should show that the employee was performing poorly (Municipal Performance Management Framework, 2009:56).

4.7.6.1.3 Ascertain that the performance standard is known

Before the performance evaluation begins, the immediate manager informs the staff of the performance standard (Municipal Performance Management Framework, 2009:57).

4.7.6.2 Phase 2: Encouraging performance improvement

To ascertain the causes of a worker's failing performance, the immediate manager requests a performance appraisal interview from the concerned employee. Discussions about how to improve employee performance are also intended to come up during the performance appraisal interview. The superior obtains all pertinent information and supporting paperwork before the performance appraisal interview. The meeting's goal is to discuss the employee's declining performance, and the superior communicates this objective clearly. Both parties then decide on the right kind of training or help to improve employee performance. Employees have access to counselling and psychological support through the Employment Assistance Program (EAP) (Municipal Performance Management Framework, 2009:56).

4.7.6.3 Phase 3: End performance review

The employee is given a second attempt to improve after the evaluation interview, and performance measurement is then carried out during the final performance review period. The boss is in charge of setting up a farewell meeting for the employee. An employee is properly informed of the results of the performance evaluation during this meeting, either verbally or in writing (Municipal Performance Management Framework, 2009:55).

The immediate manager will have to hold a disciplinary hearing if an employee's performance does not improve after appraisal interviews. Dismissal is a possible result of a disciplinary hearing (Municipal Performance Management Framework, 2009).

According to the rules, employees may submit and have performance standards deviations taken into account. Employee is required to sign an adjusted performance agreement if the submission is approved and granted within the first two quarters of the performance cycle (Municipal Performance Management Framework, 2009:55). All requests for deviations made by the Executive Directors of the various departments must be approved by the City Manager, and all requests made by the respective managers of the various municipal entities within the City must be approved by the chairs of the various boards. The Performance Audit Committee must examine and approve these (Municipal Performance Management Framework, 2009:55).

If poor performance continues and there is gross misconduct, disciplinary action is taken. Performance issues are critically examined by the supervisor, who should then decide on the best approach in addressing them. The main goal of corrective action is to raise an employee's performance so that, if it continues, they won't be fired (Municipal Performance Management Framework, 2009:55).

The compensation system used by the City of Johannesburg to improve performance is discussed in more detail in the section that follows.

4.8 THE IMPACT COMPENSATION SYSTEMS HAVE ON IMPROVED PERFORMANCE

The research findings on employee satisfaction and the role that compensation plays in employee satisfaction are explored in this section of the case study. The goals of a compensation system are then discussed, along with the pay structures that can be used to improve employee performance. The pay continuum sets the development of these pay options and their levels of pay at distinct phases.

A performance measurement system must be implemented correctly in order for awards to be distributed fairly. Managers will view the resulting remuneration as fair if they believe the performance measurement method is being implemented successfully. This view encourages performance development. The way the compensation system is implemented in the City of Johannesburg is included in the current compensation trends.

4.8.1 Compensation as a concept

Gomez-Meja (2004:339) describes compensation as "the bundle of quantifiable rewards that employee receives for his or her labour". This package consists of three components: base pay, pay incentives, and indirect compensation (i.e. benefits). Sutherland and Canwell (2004:45) state that in contrast to pay incentives, which are "programs meant to reward employees for high performance", compensation is "the fixed income that employee receives on a regular basis, either in the form of salary or as hourly earnings".

The definitions imply that labour should have been provided in order for employees to earn fair and appropriate compensation. Employee performance should be assessed frequently and compared to organisational and performance goals for both individuals and teams.

Benefits that include "a wide array of programs, [such as] medical help and housing allowance" are considered indirect compensation (Gomez-Meja et al. 2004:329). According to Aamodt (2012: 321) "a remuneration system has a direct impact on employee job satisfaction, which will effect employee performance in the workplace".

To put it another way, if a remuneration system is thought to be acceptable by employees, it will raise their level of job satisfaction, which will ultimately lead to better performance.

4.8.2 Intentions behind a compensation scheme

Striking efficiency and equity, connecting each employee with strategic corporate objectives, and adhering to laws are the major goals of a compensation system (Greenberg and Baron 2010:112).

Dowling (2008:20-22) claims that “organisations are realising that a remuneration system becomes a source of competitive advantage as individual employee efforts are connected with strategic corporate objectives". The implementation of a compensation system that provides value to the accomplishment of strategic business objectives is necessary for the achievement of this competitive advantage.

One such tool is the compensation system, and management must determine which mix of pay systems would most effectively convey the organisation's strategy (Hill and McShane, 2008:331). The City of Johannesburg's compensation policy covers all aspects of managing compensation for two groups of employees: those who are members of the South African Local Government Bargaining Council (SALGBC) and those who are not. Therefore, the City of Johannesburg has created a compensation policy to ensure the efficient management of compensation (Remuneration Policy, 2008:5).

"Guaranteed pay covers all guaranteed goods, such as basic wage, medical aid, retirement fund, automobile allowance, and other allowances," according to the City of Johannesburg (Remuneration Policy, 2008:6-7). Each employee's guaranteed salary is determined by his or her level of responsibility and expertise. The guaranteed compensation an employee receives is determined by the size of the work and the position they hold within the organisational structure of the municipality. The system of job evaluation is used to rate jobs in order to determine the proper guaranteed compensation. The guaranteed pay's objective is to draw in and keep talented and high-performing people, even though it is "priced at the median of the targeted market" (Remuneration Policy, 2008:6-8).

4.9 THE IMPORTANCE OF TRAINING AND DEVELOPMENT FOR IMPROVED PERFORMANCE

The topic of this section is enhancing worker performance through training. Only when performance measurement using the Balanced-Scorecard has been completed can training be created and implemented. The description of training and development concepts, the systems approach to training, the goals of training and development, as well as any potential concerns that may arise, are all crucial topics in this part. The debate will include references to how training is carried out in the City of Johannesburg.

4.9.1 Definitions of training and development concepts

Lussier (2006:277) defines training as "a systematic and organised procedure to modify employees' knowledge, skills, and behaviour in order to meet organisational objectives". Development is described as "the procedure by which leaders acquire the knowledge, abilities, and behaviours to become or continue to be successful leaders in their organisations" (Lussier, 2006:278).

4.9.2 Detailed discussion of training and development

The purpose of training is to increase workers' productivity. It is a conscious attempt to impart particular knowledge, skills, and attitudes (SKA), the use of which results in the accomplishment of organisational objectives. Employees should be able to successfully action a given work as an outcome of training (Drucker, 2007:132-132). Development "is aimed at individuals who hold managerial roles in any organisation" (Martin, 2010:100).

4.9.3 The goals of development and training

Improvement of employee performance, updating of skills, avoiding management obsolescence, orientation of new hires, preparing employees for promotions or managerial succession, and addressing personal growth needs are the goals of training and development (Radebe, 2013). The next section goes into more detail about these goals.

4.9.3.1 Enhancing worker performance.

Employees who fall short of the performance standard should raise red flags. Training can help employees who lack certain abilities improve them (Wood, 1997:542-543). For Doherty and Horne (2007:430-431) employees should be taught the fundamentals of quality, and quality training programs should be developed, for the purpose of improving the quality of services and goods produced by organisations. Employees that have been given quality training will be able to live up to customer expectations for quality.

4.9.3.2 Updating the skills of staff

In order to increase employee abilities in accordance with technological advancements, managers in all business sectors must be vigilant. The way that jobs are carried out changes as technology advances. Following modifications to how tasks are carried out, employees' skills need to be continuously improved (Perkins, 2006).

4.9.3.3 Keeping management relevant

“Failing to adopt new procedures and methods that keep personnel productive" is what is meant by managerial obsolescence (Dawson, 2000:181- 182). The way managers carry out their duties is impacted by the macro environment’s rapid changes. Organisations that fail to adapt to these changes end up becoming inefficient and outmoded (Erasmus, Leodolff, Mda and Nel, 2010:28).

4.9.3.4 Addressing organisational issues

Universities, training programs, and development consultants can all be used to teach staff members’ new job-related skills. In an organisation's numerous functional areas, training and development can be done (Cole, 2004: 252-253; Meyer, 2007: 4).

4.9.3.5 Orientating new employees

To foster a positive perception of the organisation and its people in the eyes of new incumbents, managers introduce new hires to the company and the position through training and development (Hill and McShane, 2008:6-7).

When realities at their new workplace do not match their expectations, newly appointed employees may be surprised or even experience shock. Giving new employees instructions on organisational realities calms their fears, reduces their doubts, and dispels their preconceived notions (Williams, 2002:455-456).

4.9.3.6 Preparing for managerial succession and promotion.

Training and development are a crucial part in motivating, attracting, and keeping employees. An employee can obtain the set of abilities necessary for promotion posts through training and development. Employers who implement training and development can keep their staff (DuBrin, 2009:316-317).

4.9.3.7 Satisfying demands for personal development

Some individuals are goal-oriented and inclined to take on new tasks at work. Such individuals benefit from receiving training because it satisfies their desire for success and strengthens their commitment to take on new professional challenges. Greater organisational performance has been demonstrated to be favourably correlated with training and development aimed at addressing human growth needs (Hellriegel et al., 2005:368-369)

4.9.2 The City of Johannesburg's policy on training and development

The City of Johannesburg's Training and Development Policy is being implemented with the intention of providing direction, support, and guidance for training and management-related activities throughout the municipality. Additionally, the Training and Development Policy defines the training requirements for municipal personnel.

By means of its Training and Development Policy, the City of Johannesburg seeks to "lay out specific guidelines for the training, development, and education of the City of Johannesburg's employees; ensure that the City of Johannesburg's training and development approach is in accordance with the National Skills Development Strategy, the applicable SETA requirements, and the sector skills principle; integrate training strategy and pertinent training initiatives; and ensure that the City of Johannesburg's training and development programs are in line with industry best practices" (Training and Development Policy, 2008:3) .

4.10 CONCLUSION

In conclusion, organisations such as municipalities must make use of the performance management process and its sub-processes to be aware of which employee behaviours work against the effective delivery of services. The Balanced-Scorecard, a tool for measuring performance, was discussed. The Balanced-Scorecard's brief history was given, and the many opinions on the tool were identified. In essence, this chapter explained how the performance management system and the Balanced-Scorecard are applied at the City of Johannesburg Metropolitan Municipality.

The following chapter, combines the presentation of results chapter and the discussion of results chapter, and provides an analysis and interpretation of data in relation to the research questions in chapter one.

CHAPTER 5

PRESENTATION AND ANALYSIS OF RESULTS

5.1 INTRODUCTION

The research data are presented and examined in this chapter. In doing so, a description of the study's sample of respondents and response rate is given. Additionally, the framework used to analyse the data presented in the study is discussed. And finally, in order to avoid unnecessary repetition of the information provided, the chapter combines the presentation of results chapter and the discussion of results chapter.

The chapter commences with the presentation of the results and identifies the key barriers and themes that stemmed from the semi-structured interview process. The results have been presented in order of perceived importance of the various responses from the respondents that participated in the research.

In order to determine the barriers, each respondent was given the platform to speak on any of the barriers mentioned in the literature review, that they felt are relevant to their organisation. The respondents also commented on the effectiveness of the Balanced-Scorecard in monitoring and measuring performance and how the performance management system impacts service delivery. The questions were structured in a way that allowed for each respondent to elaborate on their statements and also draw examples from their individual experience in the organisation.

5.2 SAMPLE DESCRIPTION AND DEMOGRAPHIC PROFILE OF RESPONDENTS

The sample study consists of performance management stakeholders and champions from the City of Johannesburg Metropolitan Municipality. Due to the sampling method, all the respondents consented to being interviewed. Some of the respondents were recommended by others, due to their knowledge and experience of working in the performance management field.

Five interviews were conducted with female performance management stakeholders of the organisation (there were no male representatives). The five interviews were conducted according to an interview schedule (Appendix B) that was set prior to the appointments. The interviews took place at each of the respondents' offices at the City of Johannesburg's Municipal Buildings. The interviews were conducted against the research instrument, which was a semi-structured interview process.

Initially, the researcher struggled to find respondents; none of the respondents were responding to the emails or telephonically. The researcher had to visit the City a couple of times before correspondence was receive, however they did eventually respond and give consent for their interview to be recorded prior to the sessions. All the interviews were recorded and transcribed accordingly. A copy of the transcriptions can be made available upon request.

5.3 PRESENTATION OF RESULTS

Chapter two of the study identified eight barriers to the effective implementation of performance management systems, as derived from scholarly literature. This section presents the results pertaining to the perceived barriers, according to the research respondents, affecting the effective implementation of the performance management system at the City of Johannesburg Metropolitan Municipality.

For ease of reference, the research respondents are referred to as Respondent 1 (R1) through to Respondent 5 (R5). Table 1 provides the keys for the respondents, as well as the institution and category they assume in the organisation.

Table 1: Keys for the respondents

Respondent keys	Institution	Category
R1	City of Johannesburg Metropolitan Municipality	PMS Stakeholder: Organisational performance
R2	City of Johannesburg Metropolitan Municipality	PMS Stakeholder: Group performance
R3	City of Johannesburg Metropolitan Municipality	HR Officer: General performance
R4	City of Johannesburg Metropolitan Municipality	Line Manager: Operational performance

R5	City of Johannesburg Metropolitan Municipality	PMS Stakeholder: Corporate performance

This table lists the keys of the respondents as proposed earlier in the discussion, and institution that the respondents work for, in this case: The City of Johannesburg Metropolitan Municipality. As well as the categories and titles that the respondents represent in the City.

During the interview, the respondents referenced some of the barriers discussed in the literature review. In doing so, some of the respondents stated that the barriers were subtle variations of a reoccurring theme and struggled, in certain circumstances, to differentiate between the barriers.

Table 2 lists the barriers that were frequently referenced during the interviews, and pairs them with the respondents that discussed them.

Table 2: Respondents' frequently referenced barriers

Barriers	Respondents
Lack of Integration	-
Lack of support/executive leadership	R2, R4, R5, R3
Lack of rewards	R2, R5, R4
Overemphasis on the performance appraisal	-
Lack of ongoing communication	R5, R2
Inaccurate measures	R2, R1, R3, R4, R5
Lack of buy in from stakeholders	-
Failure to diagnose problems	R2, R3

This table lists the barriers to the effective implementation of a performance management systems, as discussed in chapter 2. The table also indicates the keys of the respondents that mentioned and elaborated on any of the barriers listed on the table. The purpose of the table is to visually illustrate the barriers that were mentioned the most during the interviews.

5.4 ANALYSIS OF RESULTS

The analysis and presentation of results regarding the barriers affecting the effective implementation of performance management systems at the City of Johannesburg Metropolitan Municipality, is presented in order of the barrier that was mentioned frequently during the interview. The transcripts from the in-depth interviews provided the basis for the correlation between the discussions. Each respondent spoke on at least one or two of the barriers discussed in chapter two that they felt affected the effectiveness of the performance management system at the City.

5.4.1 Inaccurate measures

Overall, the respondents described this barrier as the one affecting the day-to-day implementation of the performance management system at the City. There was an agreement between the respondents that the Balanced-Scorecard is measuring incorrect outcomes. This barrier was mentioned more frequently than the others during the interviews.

Bacal (2000) highlighted the significance of this barrier by stating that it helps in ensuring that employees are always aware of what the organisation is trying to achieve. In addition, it is important that individual employees are measured on what they are supposed to deliver on and not on generic requirements. The common thread for this barrier among the respondents was the way in which the Balanced-Scorecard is measuring outcomes for lower-level employees (general employees) at the City.

Respondent 1 indicated that:

"At lower-level, not everyone is able to comprehend what is required from the balanced-scorecard, or what it is trying to measure. Most of the workers are not literate, and are also unable to accurately record their outputs according to the requirements of the scorecard".

Respondent 2 noted that:

"The requirements of the scorecard have always been a problem at lower-level. Workers are measured on generic requirements. These do not correlate with the work they do, as opposed to middle and higher levels in the City".

Iguows (2011) emphasised how important is for individual employees to be measured on what they are supposed to do so and not on generic requirements provided by the Balanced-Scorecard. The trend of having the same deliverables for all employees' across all levels in the City irrespective of whether or not they have an influence on the achievement of them was highlighted by several respondents during the interviews.

The respondents further highlighted that the manual system of the Balanced-Scorecard that the City is using across all levels to record performance is hindering the accuracy, efficiency and speed at which outcomes are delivered.

Respondent 2 stated that:

"The process of recording outcomes is tedious because one has to stop whatever they are doing and start typing the scorecard, printing the scorecard and then getting it signed. It is time consuming".

Respondent 1 indicated that:

"The City would benefit from having an automated system. This would reduce the amount of paperwork employees have to go through when recording performance".

Respondent 3 added that:

"There are instances where employees fail to submit their documents due to not having the resources such as printing materials that are required to perform the task of manually recording their performance".

The aforementioned quotations show that employees at the City may not be motivated to record their performance, due to the time and effort it takes to manually record their performance and also the lack of resources. The City, however, still needs to present adequate performance reviews at the end of each financial year. Respondent 1 suggests changing the manual system to an automated system. The tool used to record performance should be user friendly and specific, in order to avoid inaccuracies and missing information when implementing the system.

Respondent 3 indicated that progress on commitments is what gets measured during a performance cycle. Therefore, setting commitments at the beginning of the performance cycle is critical. Respondents 5 indicated that:

"When the performance agreement does not clearly state the deliverables, the assessment thereof becomes subjective rather than objective which leads to employees feeling despondent about the performance appraisal".

Respondent 4 highlighted an issue that contributes to inaccurate measures being a barrier to the effective implementation of performance management systems at the City:

"There are instances where employees measure only the aspects they are doing well in and not the others. They put only two measures and the boss signs it. This does not help the employee to contribute to the overall objectives of the organisation".

All the respondent's mentioned this barrier among their top three, and also indicated that it is easy to measure quantifiable outcomes, but difficult to measure qualitative outcomes (outcomes that rely on multiple measures: time, effort, quality and quantity).

The main issue with this barrier, however, was the inability of managers at the City to develop measures for individual employees based on their job description. According to Neely et al (1995:167), in order to assess the appropriateness of each measure, there are questions that need to be asked prior to setting the measures. These are: "Have all the appropriate elements (internal and external) been covered? Have measures been integrated, both vertically and horizontally? Do measures reinforce the organisation's strategy? Do any measures conflict with each other? Are the measures consistent with the existing recognition and reward structure? ". All the respondent's agreed with the questions proposed by Neely et al (1995).

5.4.2 Lack of leadership and executive support

With regards to the lack of leadership and executive support, the respondents noted that this barrier is critical to the effective implementation of a performance management system. For the respondents, the active participation of leaders with a performance management system ensures that the alignment between the implementation of the system and strategic objectives of the organisation is maintained.

In order to show the negative effect that the lack of leadership can have on the implementation of a performance management system, Respondent 4 described the importance of the presence of leadership as follows:

"When City focus on 'managing' employees, the focus tends to shift to tasks that are not aligned with the achievement of the City's vision and mission. Leadership provides purposeful performance and an understanding of the importance of performance".

The aforementioned quotation also showed that managers can sometimes be misled in instances where the performance management objectives do not align with the strategic objectives of the organisation; hence the requirement for leaders to be actively involved in performance management initiatives to ensure that there is alignment. Respondent 5 exemplified this barrier by stating that:

"Leaders provide minimal support when it comes to performance initiatives. They often only show support because it is a requirement from HR, not because they are interested in the performance management system".

Respondent 4 indicated that:

"PMS stakeholders in their respective departments push employees to achieve whatever is expected of them. They provide assistance and host meetings on a quarterly basis to assist employees to improve their importance. However, leaders from top management barely speak to PMS stakeholders about developments relating to performance. They also barely participate in road shows, so much so that they even ask to not be involved".

Respondent 2 in discussion stressed the importance of this barrier by stating that:

"For any performance management system to work there must be buy in from top management. They must provide resources so that it can be seen that it is driven from the top".

Respondent 2 further emphasised the importance of the existence of a strategic unit driven by a champion who is a member of the top management strategic team, for the purpose of promoting the system across all levels of the departments in the City. Respondent 2 also indicated that although there is performance unit at the City whose sole purpose is to develop performance management instruments, objectives are still not cascaded down to the employees. Respondent 3 indicated that there is no effort shown when it comes to implementation:

"In terms of policies and guidelines, we are good. There are procedures on anything and everything but there is no implementation. Implementation is always a problem".

These views confirm what Schneiderman (1999) stated regarding the lack of top management commitment as a contributing factor to the failure of organisational initiatives such as performance management. Respondent 1, Respondent 4, Respondent 4, and Respondent 5, agreed with the view espoused by Schneiderman (1999) that it is important for leadership to involved communication regarding performance management. The organisation's strategic direction should be shared by leadership with the rest of the organisation, in order to ensure that the communication thereof is filtered into direct reports.

The respondents also agreed with Probst and Raisch (2005; 104) view that, "it is important that the involvement is that of also the leadership team and not just the leader". This ensures that all the other employees in positions of leadership will ensure implementation in their areas of responsibility.

5.4.3 Lack of rewards

The respondents described this barrier as being responsible for the failure of the performance management system in linking performance requirements to rewards in a meaningful manner. The respondents stressed how beneficial it would be for the City to make provision for rewards that would support the effective implementation of the performance system employed at the City.

Respondent 2 stated that the challenge is to translate employee performance assessment scores into meaningful rewards across all levels of the departments in the City:

"Only employees at higher-level, chief executives and leaders, are compensated in monetary value. Mid- level and lower-level employees are only given four days

leave annually for achieving high levels of performance. As such, employees at lower-level never feel motivated to meet requirements for rewards".

Respondent 5 highlighted that in government, employees are fixated on how they can get the reward and not so much on how they are expected to perform. There are also instances where management changes the targets only at the end of the performance cycle without consulting employees, more especially when rewards are not linked to employee performance, but rather to organisational performance. Respondent 4 indicated that:

"For performance management to be effective there needs to be something that excites and motivates employees to perform; a reward system that is monetary in value".

Respondent 4 ranked the tendency of management to shift goals as a top barrier for the effective implementation of the performance management system at the City, because it leads to employee disengagement. Respondent 2 maintained that the challenge of translating performance assessment scores into meaningful rewards for mid-level and lower-level employees is a barrier that directly affects performance where rewards are concerned.

5.4.4 Lack of ongoing performance communication

In overview, the respondents described this barrier as; the lack of sufficient, regular and transparent conversations on performance management requirements and progress. The respondents emphasised how important it is for communication to commence at the beginning of a performance cycle.

For performance management to be effective, all employees must be clear on the work they are required to do, and how it needs to be done (Roberts, 2003). Respondent 2 and Respondent 5 agreed that employees find it difficult to understand what is required of them, especially low-level employees. Respondent 2 indicated that:

"At the City, our goal is to ensure that employees are complying with the system. In so doing, we need to ensure that employees are aware of what needs to be done, because for performance management to be effective, there needs to be ongoing communication between managers and employees".

Respondent 5 described the importance of communicating about a performance management system and its objectives, at the time in which the employee is first appointed as follows:

"Early communication should starts with setting targets and performance indicators as part of performance planning at the beginning of the performance agreement process".

Bacal (2000) refers to this part of the performance management system as the performance planning process, where managers and employees work together to identify what work the employee has to do for specific period and the manner in which it has to be done. Roberts (2003) further adds that the communication between managers and employees within a performance management system implementation context should be regular and transparent. Respondent 2 speculated that from her experience, line managers struggle to have conversations with their employees, 90 percent of the time. Training for managers and employees on how to engage within a performance management process, can drastically improve results.

Respondent 5 further highlighted the need for timeous feedback on progress as follows:

"There are instances where feedback on performance is not provided by line managers, employees only get to know about it only at the end of the year. This ends up being the task of stakeholders".

Respondent 2 stressed that it is relevant for feedback to be given by line managers as opposed to outsiders as follows:

"It is easier for employees to hear from their line managers than from an outsider; someone who was not part of the continuous performance related meetings that took place between the line manager and employee".

Bacal (2000:46) asserted that "in order to effectively implement a performance management system, what needs to be communicated within a performance management system is heavily impacted by the timing thereof". Respondent 2 and Respondent 5 agreed that the training and sharing of information with all stakeholders regarding the implementation of a performance management system, as well as the facilitating and driving of the organisation's strategic objectives should take place as early as possible during the performance planning process.

The respondents were also in agreement with Roberts (2003:82) that, "ongoing communication ensures that employees get feedback at the earliest possible time to avoid surprises". The respondents also stressed that managers and employees need to be trained on how to provide (in the case of the manager) and receive (in the case of the employee) feedback, especially negative feedback.

5.4.5 Failure to diagnose problems

With regards to the failure to diagnose problems, the respondents described this barrier as being critical to the improvement of the performance management system at the City. Bacal (2000:89) defines performance diagnosis as, "the process of problem solving and communication used to identify the real underlying causes of performance problems or deficits, for an individual, a department, or even the whole organisation".

Respondent 2 and Respondent 3 both agreed that the City is not paying attention to this barrier. Failing to diagnose performance problems directly affects the effectiveness of the performance management system. The problems or issues that could have been diagnosed and resolved earlier in the process would have assisted the City in avoiding inaccuracies that often occur during the final analysis of the system.

Respondent 2 stated that:

"Providing a diagnosis for the problems that are directly affecting the effectiveness of the performance management system, and in turn finding solutions to resolve them, ensures that managers and stakeholders are always aware of the problems affecting the success of the system for them contribute meaningfully to its success".

Respondent 3 further stated that:

"There are a lot of problems that hinder the successful implementation performance management system at the City. These problems have to be resolved across all levels of the departments in the City".

From the feedback of the respondents, the researcher is of the view that negligence might be the contributing factor to the way in which the significance of this barrier is neglected. This barrier is significant to the improvement of the performance management system at the City of Johannesburg Metropolitan Municipality.

The five respondents that were interviewed identified the top three barriers to the effective implementation of performance management system at the City of Johannesburg Metropolitan Municipality as: Inaccurate measures; lack of leadership and executive rewards, and; lack of rewards.

5.4.7 Additional barriers

During the interview process, the respondents provided more barriers to the effective implementation of a performance management system, in addition to the ones drawn from chapter 2 that they felt were relevant to the City of Johannesburg Metropolitan Municipality. The barriers are discussed as follows:

Human tendencies

Respondent 2 indicated that it has become increasingly popular for employees to ensure that they are 'liked' by line mangers. This has had a negative impact on the effective implementation of the performance management system. At executive management level, where work is mostly facilitated by relationships, Respondent 2 indicated that:

"The minister may find it difficult not to award a bonus to a chief director because the director may also be his or her friend".

Respondent 2 stated that in such cases, employees who are meeting requirements and showing high levels of performance are often compromised by being unfairly overlooked and not rewarded accordingly.

Respondent 2 further stated that in instances where an output is personalised or expands beyond the job description; the line manager benefits rather than the organisation (for example: a personal assistant fetching the line manager's children from school). This makes it near impossible for the line manager not to award a bonus for the personal beneficial nurture of the act.

Culture of entitlement

Respondent 5 was of the view that there is an issue of culture of entitlement within the City which leads to mediocracy being rewarded. Respondent 5 indicated that:

“While there has been a drive to improve the effectiveness of the public sector by applying performance management systems based on private sector experience, to some extent this has not worked. The external environmental influences on public sector organisations have resulted in management not being a key determining factor of organisational performance”.

Respondent 5 added that a culture of entitlement leads to situations where employees start to budget on the performance reward instead of being concerned about their performance. This nullifies the purpose of the performance management system as being a mechanism for feedback on meeting organisational goals.

Respondent 1 asserted that the effect of organisational culture on implementing the performance management system effectively can be immense. However, there are tools and resources that the City can set aside to prevent the effect. Organisations who have a high performance culture do not tolerate poor performance, and in so doing do not forgive or condone it.

5.4.8 Further comments from respondents on the contextual framework

The contextual framework for this study was the Balanced-Scorecard— a measurement tool used by the City of Johannesburg Metropolitan Municipality. The respondents commented in detail about the measurement tool used by the City. The respondents all agreed that the tool serves its purpose at the City, which is to record employee performance, but has had its shortcomings since its inception.

The respondents were asked in Question 6 of the interview questionnaire (Appendix B): What are the strengths and shortcomings of the Balanced-Scorecard approach at the City of Johannesburg metropolitan Municipality?

In response to question 6, Respondent 1 indicated that:

“The Balanced-Scored is easy to use when it comes to measuring performance. However, at the lower-level, where a person is messenger, gardener or cleaner, or someone who is providing any service at the lower-level; we need to perhaps look at it from a microscope to see if it is as effective as when implemented at mid-level and higher-level”.

In such instances, Respondent 1 stated that a different type of scorecard is recommended and should be drawn for people at lower-level, so as to ensure that their outputs are measured accordingly. Some of the employees at lower-level are illiterate, and as such struggle to understand what is required by the Balanced-Scorecard.

In response to question 6, Respondent 2 indicated that:

"The Balanced-Scorecard is a critical document that ensures that one is aware of what is expected from them. Currently, the biggest failure of the scorecard is that is has to be used manually, because it has not yet been developed to be used is an automated sense"

Respondent 2 stated that prior to the implementation of the Balanced-Scorecard, the City had many cases where poor performance was recognised only at the end of the financial year due to the lack of monitoring throughout the year. The manual system demotivates employees because of how tedious it can be to complete the scorecard and the supporting documents.

In response to question 6, Respondent 3 indicated that:

"The Balanced-Scorecard opens opportunities for employees to grow in the City. The failure lies in the lack of interest that some employees have shown in relation to the system. Also, some employees do not understand what the system is about".

Respondent 3 added that if no interest is shown to the system by employees, then it is bound to fail; this has been the case over the years. Employees, more especially those at high-level, would much rather focus on rewards rather than their performance. The Balanced-Scorecard has been provided to employees as a tool to monitor and measure their performance, but they still do not see the value in it.

In response to question 6, Respondent 4 indicated that:

"The Balanced-Scorecard shows employees which targets they should meet at the end of each financial year. The way in which the scorecard was introduced in the City created a misconception among employees that scorecard was only for high-level employees. This caused disjuncture between employees, something that is still a problem to this day, because most of them are not interested in the system".

Respondent 4 further stated that the manner in which the City presents new performance related information to mid-level and lower-level employees should be well thought out in future, because they rarely show interest in performance related initiatives. This could be because they have not been financially compensated for their efforts since the scorecard was introduced. To them, it seems as though the results of the scorecard favour high-level employees.

5.5 CONCLUSION OF THE PRESENTATION OF THE RESULTS AND DISCUSSION

The research questions for the study were:

1. What are the successes and failures of the effective implementation of performance management systems in the City of Johannesburg Metropolitan Municipality?
2. What are the barriers to effectively implementing performance management systems in the City of Johannesburg Metropolitan Municipality?

The answers to the aforementioned questions were addressed through the presentation of the interview results and analysis in this chapter, where the issues pertaining to the use of the Balanced-Scorecard in the City as well as the barriers preventing the effective implementation of the performance management system at the City of Johannesburg Metropolitan Municipality were listed and discussed.

Overall, there are five barriers affecting the effective implementation of the performance management system at the City of Johannesburg Metropolitan Municipality. These were listed and discussed according to the number of mentions they received during the interviews as follows: inaccurate measures; lack of leadership/executive support; lack of rewards; lack of ongoing communication, and; failure to diagnose performance related problems.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

Finding the barriers that were believed to impede the City of Johannesburg Metropolitan Municipality from successfully implementing performance management systems was the initial aim of the research. Five respondents who are involved in performance management gave their opinions when asked to list the top three obstacles preventing the City of Johannesburg from successfully implementing the performance management system. Thereafter, the respondents were asked to rate their three most significant barriers in order of importance from a list of the eight international barriers that were discussed in the literature review, chapter 2.

The information gathered from the interviews, along with the rankings offered by the respondents, served as the foundation for drawing conclusions about the barriers to the effective implementation of the performance management system at the City of Johannesburg metropolitan Municipality.

6.2 RECOMMENDATIONS

The research study highlighted the barriers that, at the City of Johannesburg Metropolitan Municipality, are believed to prevent the successful implementation of the performance management system, according to stakeholders' perspectives.

The research study's findings are significant because the effective implementation of performance management systems in municipalities will be the primary determinant between those municipalities that can achieve their full potential and those that cannot given the pressures on municipalities to achieve their strategic objectives, particularly in the face of increased limited resources. Additionally, the results of the literature analysis demonstrate that an organisation's performance is generally impacted by the successful implementation of a performance management system.

All of the respondents concurred that the City of Johannesburg’s ability to achieve its strategic goals depends on the efficient implementation of a performance management system. They also concurred that there is currently no workable alternative, hence it is essential that every effort be made to guarantee that performance management is properly implemented. It is obvious that the City of Johannesburg has a chance to identify the barriers that directly impact it in order to enhance the implementation of performance management system within its organisation.

In light of this, it is advised that senior executives, senior management, boards of directors, current and future HR and line managers, and other organisational stakeholders concentrate on putting policies in place to reduce or remove perceived barriers to the effective implementation of performance management systems. As a result, a culture that is motivated by performance will be developed and improved.

6.3 SUGGESTIONS FOR FUTURE RESEARCH

The failure to remove potential barriers has a substantial impact on the knowledge surrounding the proper deployment of performance management systems in order to drive an organisation's performance. The purpose of the research study was to identify and gain a deeper understanding of the perceived barriers to the successful implementation of the performance management system at the City of Johannesburg Metropolitan Municipality.

The following topics are recommended for further investigation: How to identify and remove the barriers that prevent South African organisation from implementing performance management systems effectively; and, how leadership styles affect how well a performance management system is implemented within an organisation.

6.4 CONCLUDING REMARKS

The ability of organisations to successfully adopt performance management systems that will drive the fulfilment of their strategic goals is crucial to the service delivery initiatives of public sector organisations. International barriers to the successful implementation of performance management systems were highlighted by the literature review done in Chapter 2. This led to the creation of a ranked list of eight perceived barriers from the research as well as other contributing elements that may have an impact on how successfully performance management systems are implemented.

HR managers and line managers should focus on removing or minimising the perceived hurdles to the effective deployment of performance management systems within their organisations in order to improve the adoption of these systems within their respective organisations.

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APPENDIX A: PERMISSION LETTER

UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

University of the Witwatersrand,
Wits School of Governance
011 717 3520

City of Johannesburg Metropolitan Municipality
158 Civic Boulevard, Braamfontein, Johannesburg.

08/07/2021

Dear Sir/Madam,

Re: Permission to conduct research at City of Johannesburg Metropolitan Municipality.

My name is Najma.

I am a Master of Management student in Public and Development Management at the Wits School of Governance, Johannesburg. As part of the requirements for my degree, I am conducting a research report titled: **Barriers to the effective implementation of the performance management system at the City of Johannesburg Metropolitan Municipality**

As such, I am seeking permission to conduct the research at the City of Johannesburg Metropolitan Municipality. The research will focus on the state of the performance management system at City of Johannesburg, its successes and failures and in essence its barriers.

I will invite individuals from your organisation to participate in this study. These individuals will preferably be Performance Management Stakeholders. If they agree, they will be asked to partake in a semi structured interview that will be approximately 30 minutes long.

Participants will be asked to give their written or verbal consent before the research begins. Their responses will be treated confidentially, and identities (their names and the name of the organisation) will be anonymous unless otherwise expressly indicated. Individual privacy will be maintained in all published and written data resulting from the study.

The research participants will not be advantaged or disadvantaged in any way. They will be reassured that they can withdraw their permission at any time during this project without any penalty. There are no foreseeable risks in participating in this study. The participants will not be paid for this study.

I therefore request permission in writing to conduct my research at your organisation. The permission letter should be on your organisation's headed paper, signed and dated, and specifically referring to myself by name and the title of my study.

Please let me know if you require any further information. I look forward to your response as soon as is convenient.

Yours sincerely,

Najma Bham-Azam

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APPENDIX B: INTERVIEW SCHEDULE

Barriers to the effective implementation of the performance management systems at the City of Johannesburg Metropolitan Municipality.

DETAILS OF THE RESPONDENTS

Date:

Time:

Title:

Organisation:

Number of [years] working in current occupation:

OPENING REMARKS

Begin the interview by thanking the respondent for partaking in the study.

Provide the respondent with a brief introduction to the research: what the research is about, why it is important, and what it aims to achieve.

Explain that the research will follow a semi-structured format, allowing for the respondent to answer freely and without limitation.

Ask the respondent for permission to record the interview and assure them that the information provided will be kept confidential, while referring to the Request Letter as confirmation.

BACKGROUND INFORMATION

Ask the respondent to profile themselves and the organisation they work for.

Q1: How long have you held your position as a performance Management Stakeholder at City of Johannesburg Metropolitan Municipality?

Q2: What services does the City of Johannesburg provide?

QUESTIONS

Q1: What is your understanding of performance management and its components?

Q2: What is your understanding of effective performance management?

Q3: Are you involved in the development and implementation of the performance management system currently employed at the City of Johannesburg Metropolitan Municipality? If so, describe your role?

Q4: What are the goals of the performance management system currently employed at the City of Johannesburg Metropolitan Municipality?

Q5: What are the uses of the Balanced-Scorecard as a framework for performance management at the City of Johannesburg Metropolitan Municipality?

Q6: What are the strengths and shortcomings of the Balanced-Scorecard approach?

Q7: Describe the aspects of the performance management system that are properly planned/designed at the City of Johannesburg Metropolitan Municipality.

Q8: Describe the aspects of the performance management system that need to be improved at the City of Johannesburg Metropolitan Municipality.

Q9: Briefly explain the aspects of the performance management system at the City of Johannesburg Municipality that have led to improved service delivery to communities.

Q10: Briefly explain the aspects of the performance management system at the City of Johannesburg Municipality that have negatively impacted service delivery to communities.

CLOSING REMARKS

Thank the respondent for taking the time to meet and contribute towards the study and inform them that they will receive a copy of the report once it is completed, upon their approval or request.