

**THE FORMULATION OF AN EXPLORATORY HUMAN CAPITAL DEVELOPMENT
MODEL ALIGNED TO PERFORMANCE MANAGEMENT SYSTEM OF
ADMINISTRATIVE EMPLOYEES AT THE DURBAN UNIVERSITY OF
TECHNOLOGY**

by

ASHNEE RAJLAL

Submitted in fulfilment of the requirements for
**DOCTOR OF TECHNOLOGY DEGREE
IN HUMAN RESOURCES MANAGEMENT**

in the

Department of Human Resources Management
Faculty of Management Sciences
at

DURBAN UNIVERSITY OF TECHNOLOGY

SUPERVISOR: DR. B.DLAMINI

FEBRUARY 2017

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ABSTRACT

The proposed contribution of this empirical study was the formulation of an exploratory human capital development model aligned to performance management for administrative employees at the Durban University of Technology (DUT). The human capital development model comprised of elements that encapsulated the link between performance improvement aided with human capital development strategies and the positive outcomes that stems from improved performance. In the context of the study, there is no standardised human capital development model for administrative employee at DUT. Hence, the study seeks to develop a human capital development model for administrative employees. The objective of the study was to develop a model that integrates the procedures of managing institutional performance with the development of its employees. The research design adopted a quantitative paradigm, using a self- administered questionnaire that was mailed to a sample 254 administrative employees. A significant response rate of 68.1% was obtained as 173 respondents returned the questionnaire. The data was analysed using the Statistical Package for Social Science (SPSS) version 24 for Windows. There were some significant findings that emerged from this study. It was indicated that 99.4% of respondents were not subjected to a performance evaluation, while 74% of the respondents showed that human capital development improved performance. A further 87.7% of the respondents reported that human capital development influence promotional opportunities, while 74.5% of the respondents responded to human capital development being linked to succession planning. A further 61.85% of the respondents also indicated that management commitment was imperative for the effective implementation of performance management systems. The Kaiser-Meyer-Olkin and the Barlett's Test of Sphercity indicated the factorability of the measuring instrument. Correlation analysis was conducted to determine the relation between the variables that formulated the human capital development model. Eight of the ten analysis showed that there was a relationship between the variables. The Pearsons Chi-Square test showed a significant correlation for the hypothesis that tested the variables of the study. One of the recommendations suggested is for top management to buy-in to performance management so that their leadership can encourage supervisors to commit to the process. Effective feedback,

training, development, mentoring and coaching are recommended to improve the performance of administrative employee. Recommendations suggested the development of a succession planning and career advancement policy for the institution. The study concluded with suggestions for future research.

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DECLARATION

I hereby declare that the dissertation submitted for Doctor of Technology Degree in Human Resources Management in the Department of Human Resources Management, Faculty of Management Science at the Durban University of Technology is my original work and all sources cited in the study is indicated and acknowledged in the bibliography.

Ashnee Rajlal

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ABBREVIATIONS

CHESD	Centre for Higher Education Studies and Development
DUT	Durban University of Technology
FET	Further Education Training
RAE	Research Assessment Exercise
RAU	Rand Afrikaans University
SMART	Specific, Measureable, Achievable, Relevant, Time-Bound
TQA	Teaching Quality Assessment
UNESCO	United Nations Educational, Scientific and the Cultural Organisations
UWC	University of the Western Cape

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Appendix F Staff Development Policy

Appendix G Performance Management and Development Policy

CHAPTER 1

OVERVIEW OF THE STUDY

1.1 INTRODUCTION

For any organisation to succeed, it must pay a great deal of attention to what employees do at work and more especially how they carry out their duties. According to Bussin (2013:9), for any organisation to improve performance and to operate effectively, the development of employee skills and abilities is imperative. Educational institutions, especially institutions of higher education, need to be proactive in the development of their employees in order to ensure that they attract, develop and retain high performers. For performance management to be effective and to ensure joint involvement by both employees and managers, Holbeche (2003:126) outlines four (4) key elements of performance management:

- A common understanding of the institutional goal.
- Shared expectations of how individuals can contribute.
- Employees with skill and ability to meet expectations.
- Individuals who are fully committed to the aims of the educational institution.

This study aims to formulate a human capital development model for administrative staff at the Durban University of Technology (DUT). It is envisaged that this model may lead to improved performance and career development. With sound use, performance management can become a positive, daily conversation that leads to better performance throughout the institution. The key to this is the understanding that the overall philosophy of performance management is the development of its employees.

Ardichvili, Zavyalova & Minina (2012:213) contend that the investment in people results in improved performance at the individual level, improved productivity at the organisational level and economic development and other benefits at the societal level. According to Kulvisaechana (2006:721), human capital development has been increasingly applied in the areas of educational value creation, competitive advantage and long term growth. The growing emphasis on human capital reflects the view that market values depend less upon tangible resources and more on intangible resources, particularly human resources. Furthermore, Aluko & Aluko (2012:165) state that “well-developed human resources serve to provide the foundations on which an edifice of human capital is built”. Therefore, it is important for higher education institutions to invest in a programme of human capital development to ensure its success. However, Kulvisaechana (2006:722) reveals that many institutions have not paid sufficient attention to human capital development, hence leading to an under-utilisation of talent in the work force.

1.2 PROBLEM STATEMENT

Times have changed. The dynamic nature of the work environment does not only require employees to focus on or perform the duties prescribed by their job description, but to carry out duties beyond that which is expected. This in essence enables the organisation to plan how to improve skills that are lacking in order to boost performance. According to Schultz, Bagraim, Potgieter, Viedge & Werner (2003:76), performance management is the day to day management of employees to align them with the goals of the organisation. A performance management system is a systematic process that formally documents the goals and objectives of each employee with a built-in review system. Bascal (2012:35) interprets human resources development as a construct used to help employees improve their performance. However, Khasawneh (2010:534) poignantly points out that the changing nature of work has meant that private and public sectors have struggled to attract and retain an adequate supply of qualified employees from the labour market.

Werner, Bagraim, Cunningham, Pieterse-Landman, Potgieter & Viedge (2012:117) contend that the challenges organisations face, relate to the implementation of performance management strategy. Moreover, Werner, *et al.* (2012:117) quoted David Norton (1999), a leading American strategy consultant, who estimated that 90% of organisations fail to implement a performance management strategy; and sometimes employees do not know how their performance will be evaluated.

Bascal (2012:35) concurs that companies need to take a proactive approach in helping staff develop new skills by using performance management systems to identify incompetencies. In addition, Khasawneh (2010:535) purports that as human capital becomes increasingly recognised as the most critical source of organisational capabilities, it is imperative that this asset is leveraged properly, to provide optimal value for educational institutions. Hence, an effective human capital development system is imperative for the improvement of an employee's performance. In the context of this study, there is no standardised human capital development model for administrative staff at the DUT. Hence the study seeks to develop a human capital development model for the administrative staff at the Durban University of Technology. This research will make an original contribution to the body of knowledge needed to optimise staff capabilities, as a human capital development model for administrative staff at the DUT is lacking.

1.3 CONCEPTUAL CLARIFICATION

1.3.1 PERFORMANCE MANAGEMENT

Hunter (2016:198) states that performance management is a management approach that makes use of motivational principles and incorporates the more effective

aspects of management by objectives, in order to provide direction and focus for the employee and to improve and maintain individual and team performance. In addition, it has a strong employee training and development component with the managers' main role being one of coach, counsellor who supports and guides the people in their direct report.

1.3.2 PERFORMANCE APPRAISAL

According to Bagul (2014:424), performance appraisal is the process of obtaining, analysing and recording information on the relative worth of an employee. The focus of performance appraisal is on measuring and improving the actual performance of the employee and developing further, the potential of the employee. The aim is to measure and improve employee performance.

1.3.3 HUMAN CAPITAL DEVELOPMENT

Van Tiem, Mosely & Dessinger (2012:325) view human capital development as a systematic and planned practice designed by an organisation to enhance knowledge, skills, abilities and attitudes of employees. Wan (2007:297) affirms that human capital development is the process of helping employees become better at their tasks, knowledge and experience. Thus, institutions need to gauge the needs of their employees and ensure that the human capital development policies are implemented and aligned with the organisational and individual goals.

1.4 THE AIM OF THE STUDY

The aim of any organisation is the identification, attraction, engagement, deployment and retention of individuals who have potential and who are valuable to an organisation. Thus, the aim of the study is to formulate a human capital development model aligned to the performance management of administrative staff at the DUT. Furthermore, the study will focus on the need to implement performance management for the administrative employees as well as document the strategies that are available to improve the skills and abilities of employees. The study aims to improve institutional effectiveness, provide for the development of human capital and cultivate an environment that reinforces effective and positive work behaviours.

1.5 OBJECTIVES OF THE STUDY

The objectives of the study are:

- To ascertain whether the DUT provides regular assessment of employee performance in the administrative sector.
- To investigate the challenges or barriers associated with developing, implementing and monitoring a human capital development model at the DUT.
- To identify the role managers and employees play in the implementation and the monitoring of a performance management system.

- To determine the effectiveness of providing regular feedback to employees regarding their performance.
- To develop a human capital model aligned to a performance management system that integrates the procedures of managing institutional performance with the development of its employees.

1.6 RESEARCH QUESTIONS

The research questions posed in this study include the following:

- Is training provided on a regular basis to improve the performance of administrative staff at the DUT?
- Is mentoring and coaching available to administrative staff?
- Is mentoring, training and development provided to administrative employees for senior positions at the DUT?
- Are administrative employees at the DUT provided with development opportunities?
- Do supervisors provide employees with regular feedback after employee development is undertaken?
- Does performance management identify performance weaknesses, which may lead to improved human capital development?
- Is management at DUT committed to skill and knowledge training for their administrative staff?

- Do the institution and line managers play a pivotal role in the employee development process?

1.7 SIGNIFICANCE OF THE STUDY

The significance of the study is to develop a human capital model which will integrate the business strategy of the institution with the performance of employees. Galabova & Mckie (2012:676) contend that people are widely recognised as the key factor that contributes to the value creation process and are often appreciated as being crucial to the business success. Rompho & Siengthai (2012:482) state that “human capital is recognised as the most important component in terms of creating long-term competitive advantage and value to an organisation in this era of the knowledge economy”. Furthermore, Rompho & Siengthai (2012:482) affirm that organisations spend a substantial amount of time and effort on designing and using a performance measurement system to achieve the best performance. Therefore, it is of interest to all institutions and employees explore the relationship between human capital development and employee performance and to identify the benefits of human capital development for the purpose of improving employee performance.

1.8 SCOPE OF THE STUDY

The focus of the study is on the administrative staff at the DUT based in KwaZulu-Natal. The Durban University of Technology was formed in 2002 by the merger of M.L. Sultan Technikon and Technikon Natal and was previously known as the Durban Institute of Technology. It has four (4) campuses in Durban namely: M.L. Sultan Campus, Ritson Campus, Steve Biko and Berea Campus and has two campuses in Pietermaritzburg namely: Riverside Campus and Indomiso Campus. In 2007 it became known as the DUT.

The study will be confined to the Durban and Pietermaritzburg campuses. These will include the following:

- M.L. Sultan Campus
- Ritson Campus
- Steve Biko Campus; and
- Riverside Campus

1.9. THE NEED TO CONDUCT PERFORMANCE MANAGEMENT SYSTEMS

According to Bently (2001:5), a performance gap is determined by what “I am capable of and what I can achieve in terms of meeting expectations, producing outcomes and achieving results”. Van Tiem, *et al.* (2012:156) postulate that performance gaps should be viewed as an opportunity performance improvement, that provides a chance to:

- Improve the actual performance state when it does not meet the desired performance state; or
- Enhance the actual performance state when it is equal to the desired performance, which may also be called innovation.

Thus, the initial point for gap analysis is to determine the existing and desired levels of performance, then set a reasonable goal for measuring progress in terms of quality, time and cost. The reasonable goal serves to show progress in closing performance gaps. Shah & Gopal (2012:531) state that need assessment is the

first step of the training process, wherein the needs are identified and placed in order of priority. Need assessment relate to the identification of individuals for the right training and development interventions. Cekada (2010:28) affirms that the prerequisite to any training investment is the completion of a training needs analysis. Training needs analysis is used to determine whether training is the right solution to a workplace problem. It is an on-going process of gathering data to determine what training needs exist so that training can be developed to help the organisation accomplish its objectives. Furthermore, Eigheten (1999:149) agrees that training needs analysis is the core around which training programmes are based. Therefore, to improve performance and develop human capital at the DUT, performance management systems can also be used to identify weaknesses and talent gaps and determine the techniques or methods that can be used to close these gaps. Ghosh & Das (2013:267) state that performance management systems are an on-going interactive process designed to enhance the capabilities and facilitate performance.

1.10 TECHNIQUES THAT INSTITUTIONS IMPLEMENT TO DEVELOP HUMAN CAPITAL

Aluko & Aluko (2012:162) affirm that human capital planning is getting greater attention with increasing globalisation and also the saturation of various economies of the world. The essence of human resources development is continuously adapted and upgraded to meet the new challenges of its total environment. This implies the need for employees reorientation or adaptation to meet new challenges. Therefore, human capital development through processes of training, education and other professional initiatives is important to the institution and more especially for the employee's continuous improvement.

1.11 THE IMPORTANCE OF TRAINING IN DEVELOPING HUMAN CAPITAL

As higher education institutions become more dynamic, so does the approach to human capital development. Dessler, Barkhuizen, Bezuidenhout, De Braine, Du Plessis, Nel, Schultz & Van der Walt (2011:263) postulate that the principle of human capital development is to improve the skills and knowledge bases of employees. According to Ndinguri, Prieto & Machtmes (2012:121-122), virtual worlds have greatly influenced the different approaches to human capital development. Technology has boosted learning and consequently human capital development in general. Training employees in skill innovations has become pivotal for an institution to gain a competitive advantage. According to Neo (2010:5), training refers to a planned effort by a company to facilitate employees learning of job-related competencies. The goal of training is for employees to master the knowledge, skill and behaviours emphasised in the training programmes and to apply them to their day-to-day activities. Although Denby (2010:147) states that training is a powerful and cost-effective investment by an organisation, it is only effective if it is implemented to match and compliment the business. Training can help to expand the scope of available talents within the workforce as well as improve institutional efficiency and effectiveness. By enhancing the capabilities of the employee, training can support staff retention, as employees feel empowered, and invested and better equipped to deal with their activities.

According to Ubada-Garcia, Marco-Lajara, Sabater-Sempere & Garcia-Lillo (2013:380), workplace learning and continuous improvement are considered essential for an organisation to remain competitive. Ubada-Gracia, *et al.* (2013:381) contend that human capital (knowledge, skills and behaviour) strengthens the importance of people-related competencies which are ultimately connected to the organisation's success. Noe (2010:5) attest that the current trend in training is for needs assessment to focus on competencies. A competency refers to an area of personal capabilities that enables employees to successfully perform their job.

Garavan, Morley, Gunnigle & Collins (2001:49) affirm that research has advocated that competency enhancement can be achieved through employees actively seeking to move into other areas within the organisation thereby, improving his or her skill base. According to Kok (2007:188), the framework for measuring the success of attaining institutional goals through the management of intellectual capital was developed for the former Rand Afrikaans University (RAU) (now known as the University of Johannesburg). Furthermore, Kok (2007:189) emphasised that RAU prides itself on striving to equip men and women, to make an impact on the South African labour market. The University strives to ensure that training is focused on training for competence. The researcher further states that training helps the employees to attain the necessary knowledge and skills to perform their tasks according to required standards. The training and development methods used to achieve this will be further discussed in this study, to highlight the behaviours needed for effective job performance.

1.12 THE IMPORTANCE OF MENTORING AND COACHING

1.12.1 COACHING

Many researchers use coaching and mentoring interchangeably, while others clearly differentiate between them. Bascal (2012:33) defines coaching as a process in which a person who is more knowledgeable, works with an employee to help him or her develop their knowledge and skills in order to improve performance. Ellinger, Ellinger & Keller (2005:620) concur that coaching occurs in the workplace so that job activities and experiences can become the catalysts for learning. According to Berg & Karlsen (2012:179), coaching represents motivational training and is aimed at helping employees enhance their effectiveness in the workplace. In a coaching relationship, employees will create new insight, develop new knowledge understanding and skills, which will spur personal growth.

Stewart & Palmer (2009:16) assert that the coach-coachee relationship is a time-bound, goal specific, situationally constrained vehicle for development. Coaching success depends on an on-going partnership of mutual responsibility and benefit between the educational institution and the coachee.

1.12.2 MENTORING

According to Western (2012:43), mentoring is a process where a mentor (an experienced person), provides guidance and support to a protégé by being a role model and a guide or confidant. They offer their experience and support to help the mentee develop. Matuszek, Self & Schraeder (2008:18) state that mentors serve as a valuable liaison function between the organisation and the developing employee. Frequently, mentors cross a generation gap that occurs within the organisation as new employees are moved through the organisation. Individuals serving as mentors help develop competence and skill that might otherwise remain dormant. Developing employees are expected to become more competent and effective. Matuszek, *et al.* (2008:20) affirm that to maximise overall effectiveness, mentoring initiatives and programmes should be grounded in solid learning and training theory rather than words of wisdom passed along from a mentor. In addition, the effectiveness of mentoring programmes can also be enhanced by moving away from a one-size fit all mentality to acknowledging the unique characteristics, strengths and developmental level of the employee. This can be gauged through informal dialogues, direct questions and observation and the specific methodology to match the needs of the protégé. According to Sosik & Godshalk (2004:443), mentors provide two primary functions to the protégé. They provide:

- Psycho-social support, in which they act as role models, provide acceptance and affirms the protégé behaviour; and

- Career development or (vocational) support, in which they act as mentors to the protégé, protect the protégé from adverse organisational forces, provide challenging assignments, sponsor advancement, and foster positive exposure and visibility. Regular, constructive and meaningful feedback from managers and supervisors adds immensely to enhance overall employee performance.

1.13 THE ROLE OF HUMAN CAPITAL DEVELOPMENT IN THE CAREER ADVANCEMENT OF EMPLOYEES

According to Birasnav & Rangnekar (2012:124), organisations are highly concerned with formulating strategies to achieve and sustain competitive advantage. However, the amount of human capital an employer possesses plays a positive role in the ability of the institution to sustain a competitive advantage. Employees, who invest more in their development, receive managerial advancement, increase their performance and increase their chances to be highly rewarded. Bambacas & Bordia (2009:224) state that organisations value employees because individual performance leads to organisational effectiveness. Organisations utilise human resources management practices such as training and development to enhance employee commitment. Furthermore, Bambacas & Bordia (2009:224) purport that a major contributor to a committed workforce is career development. According to Ballout (2007:743), the theory of human capital provides a basis for understanding the individual approach to career success. The human capital theory suggests that individuals who invest in human capital attributes such as education, training and experience are expected to show higher levels of work performance and affirms that an individual's career progression and success is contingent upon the quantity and quality of human assets one brings to the labour market. Zheng & Kliener (2001:35) state that recent empirical evidence supports the positive link between human capital variables and career success. Ballout (2007:743) validates that the frequency of promotion is a valuable measure of career mobility and success for the individuals' progression within the institution. Furthermore, Thurasamy, Chin Lo, Amri & Noor (2011:144) assert that

upward movement in job level or title and an increase in earnings are the criteria used to quantify career advancement. Knowledge and expertise is the tool that can be used in the career advancement of employees. According to Garavan, *et al.* (2001:49), employees view the development of their knowledge base, skills and abilities, as a process that enables them to better understand and develop their career skills and interest effectively within the institution. Career development is the outcome of the interaction between individual career planning and organisational career management process. It is a joint effort between the individual employee and the institution.

1.14 THE BENEFITS OF DEVELOPING HUMAN CAPITAL AND PERFORMANCE MANAGEMENT

Performance management plays a significant role in human capital development. To achieve a competitive advantage and improve performance, the development of human capital is vital to any organisation. Aguinis (2013:197) outlines four objectives of an employee development plan to improve performance. The objectives are to:

- Improve performance in current jobs. A development plan helps meet performance standards by suggesting a course of action to address each of the performance dimensions that are deficient.
- Sustain performance in current jobs. A development plan provides tools so that employees can continue to meet and exceed expectations in their current jobs.
- Prepare employees for advancement. A development plan includes advice and a course of action that should be taken so that employees will be able to take advantage of future opportunities and career advancement.

- Enrich the employee's work experience. Even if career opportunities within the organisation are not readily available, a good plan provides employees with growth opportunities and to enable them to learn new skills.

Simmons (2008:463) validates this by stating that employees are central to effective performance management in three ways. Firstly, they constitute the human capital component that can initiate value-enhancing use of other forms of organisational capital. Secondly, it is employee stakeholders who devise and implement an organisation's performance management system. Thirdly, knowledge intensive and service-based organisations are especially reliant on employee contribution and commitment for their effective performance. According to research conducted by Galabova, *et al.* (2012:668), the findings confirmed that most of the respondents acknowledged the impact of competent people in their business and specifically their individual contribution to the organisation's human capital as a value creation factor directly impacting on the performance of their company. Harris, McMahan & Wright (2012:410) state that human resources provide a source of competitive advantage because they are not non-substitutable. It is unlikely that one set of human resources could be substituted with another and the unit performance would remain exactly the same. Therefore, hiring and retaining human resources with high levels of human capital expertise will allow an organisation to achieve a competitive advantage. To improve institutional development, a human capital development model for DUT administrative employees, will prove immensely beneficial.

1.15 THE MODELS OF HUMAN CAPITAL DEVELOPMENT AND PERFORMANCE MANAGEMENT

According to Wang & Chang (2008:226), the models of human capital development describe how human capital affects business performance through elements of

intellectual capital including innovation capital, process capital and customer capital. Among all the elements, human capital is the most fundamental. Bontis & Fitz-enz (2002:227) state that “the general quantitative antecedents of human capital include management’s ability to continue to invest in human capital while defending the organisation from human capital depletion”. Cunningham (2002:90) found that the variables of human capital and social capital are consistently positively correlated with institutional performance. Cunningham (2002:90) affirms that the assessment of the organisation’s performance is of utmost importance and in order to ensure the success of the organisation, there is a need to acknowledge the fundamental role of the manager. Furthermore, the success of the organisation lies in the strategic decisions, capabilities and communication relationships between the employees and the relevant stakeholders. Bussin (2013:10) model on performance management is based on the premise that the most critical aspect of performance management is to monitor, evaluate and to determine performance rewards and recognition. Furthermore, Gosh & Das (2013:268) model on performance management in higher education identifies planning, monitoring, developing, recording and rewarding as the five phases in the performance management process for higher education institutions. The model ensures that objectives are achieved and identifies deficiencies in performance standards. The study will analyse the various models and develop a human capital development model aligned to performance management for administrative staff at DUT. This will assist employees in obtaining the skills, abilities and knowledge thereby, developing their level of competencies and improving their performance.

1.16 CONCLUSION

Treating human capital development as a means of achieving positive business results is the traditionally dominant approach in the literature. According to Kulvisaechana (2006:722), little work has been done on what constitutes a framework of human capital development, particularly in view of investigating the gap between theoretical practices and the actual reality in an organisation.

The purpose of the study is to improve higher educational institutional effectiveness, provide for the development of human capital and cultivate an environment that reinforces positive work behaviours. In addition, the study aims to formulate a human capital development model that will be aligned to the performance management system of administrative staff at the DUT. The variables of the model will be tested by the use of questionnaires sent to 254 employees at DUT. The model once developed, will serve as a guide for employee performance and the retention of staff at DUT. Thus, this study makes a valuable contribution to the administrative staff and management of DUT.

This chapter provided an overview of the study. The objectives of the study together with the problem statement were outlined. The methods that can be used to develop and improve employee performance, its relation to employee performance and the outcome of effective human capital development were explored. This chapter alluded to the feedback obtained from the performance management system, the implementation of development techniques to improve and develop the performance of individuals, career advancement opportunities for high performing individuals and effective job performance as the foundation factors that guide the development of the exploratory human capital development models for administrative staff at the DUT. The tenability of the exploratory human capital model will be tested by using a questionnaire sent to 254 respondents at DUT. The model developed could be used as a catalyst to guide employee performance and the retention of staff at DUT.

The next chapter identifies performance management systems and human capital development in higher education. The positive outcome of an effective human capital development for both the individual and the institution is also explored in Chapter 2.

CHAPTER 2

HUMAN CAPITAL DEVELOPMENT ALIGNED TO PERFORMANCE MANAGEMENT SYSTEMS AT HIGHER EDUCATION INSTITUTIONS

2.1 INTRODUCTION

In the current economy, human capital is the foundation of value creation yet this concept is poorly understood and managed. According to Hassan (2007:436), human resources development is a process of developing and/or unleashing expertise through organisational development and personnel development and training employees for the purposes of improving performance. Hassan (2007:436) stresses that human capital development is a human-made entity that relies on human expertise in order to establish and achieve their goals. The investment in human capital development by institutions, contributes to the institutional and the individual performance. Baird, Schoch & Chan (2012:161) state that performance management development enables organisations to plan, measure, and control their performance, so that decisions, resources and activities can be aligned with the organisations strategies to achieve the desired results. Cocco & Alberti (2010:186) affirm that performance management systems are considered as a means to gain a competitive advantage and continuously react and adapt to external changes.

An exploratory human capital development model aligned to performance management systems has been developed to assist administrative staff at the Durban University of Technology to improve their performance and develop within the institution. This chapter provides a synopsis of the literature on human capital development aligned to performance management system at higher education institutions. The study seeks an in-depth understanding of human capital development aligned to performance management systems for administrative staff at the DUT. It aims to determine how administrative employees at the DUT interpret the meaning and purpose of performance management in the context of higher education and looks

at the implementation of human capital techniques in improving the performance of its administrative employees.

2.2 DIFFERENCE BETWEEN PERFORMANCE MANAGEMENT AND PERFORMANCE APPRAISAL

According to Atkinson (2012:48), performance management is the process of identifying, managing and developing the performance of its human resources within an organisation, while performance appraisal is the on-going process of evaluating an employee's performance. Torrington, Hall, Taylor & Atkinson (2009:102) draw a distinction between the two terms. In performance management there is a top-down link between the organisational and employee objectives, while performance appraisal is not explicitly linked to the organisation's objectives. Torrington, *et al.* (2009:102) affirm that performance management is driven by managers compared to performance appraisal which is owned by the human resources functions. Thus, Manohoran, Muralidharan & Deshmukh (2012:449) attest that performance appraisal is used to determine an employee's performance and communicates the information back to the employee. Davis (2012:11) states that performance appraisal plays an integral role in building a motivated and committed workforce conversely, poorly developed and administered appraisal results in diminished levels of employee satisfaction, demoralisation and poor teamwork. Dessler, Barkhuizen, Bezuidenhout, DeBruaine, Du Plessis, Nel, Stranz, Schultz Van der Walt (2011:329) state that in comparing performance management and performance appraisal, the distinction is the contrast between a year-end event – the completion of an appraisal form and a process that starts the year with performance planning which is integral to the way people are managed throughout the year. While, Wiese & Buckley (2008:233) affirm that performance management never entails meeting with an employee once or twice a year to review their performance but is a continuous, daily or weekly interaction, of which the constant feedback ensures continuous improvement. Dessler, *et al.* (2011:330) state that performance management is goal-directed. The continuing

performance review always involves comparing the employee's or team performance against goals that specifically stem from the link to the organisation's strategic goals. De Waal (2002:9) attests that performance management means continuously re-evaluating and modifying how the employee and the team get their work done. Bussin (2013:18) posits that performance management is an opportunity to communicate to employees their personal role in the success of the organisation and to evaluate their output against agreed performance standards.

Hence, performance management is a holistic approach that should be aligned with the other human resource systems. According to Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014:422), performance management system should be a priority for every manager as its implementation is fundamental to steering an organisation towards optimum performance and sustainable growth. Ingram & McDonnell (2006:38) assert that effective performance management can only be achieved by fostering an organisational atmosphere in which benefits accrue to each of the three stakeholders, namely; the customer, the employee and the organisation. Swanepoel, *et al.* (2014:438) highlights the distinction between performance appraisal and performance management in Table 2.1.

TABLE 2.1 THE DISTINCTION BETWEEN PERFORMANCE APPRAISAL AND PERFORMANCE MANAGEMENT

Performance Appraisal	Performance Management
Focus on employee development	Focus on employee evaluation
Seen as an on-going, daily process	Seen as a once-a-year event
Discussions happen frequently, formally at least twice a year	Discussions happen when salary increases are awarded or performance problems emerge
Forms are designed to evaluate performance and plan for employee development	Forms are designed to evaluate performance and rank employees
Both positive and negative feedback occurs frequently	Feedback occurs primarily on the appraisal/ review discussions
Comprehensive and holistic with a focus on the performance of the organisation as a whole	Focus is primarily on individual performance
Aligned with organisational goals and objectives	Aligned with individuals' goals and job activities

Adapted from: Swanepoel, B.J., Erasmus, B.J., Schenk, H.W. & Tshilongamulenzhe, M.C. (2014:438).

Swanepoel, *et al.* (2014:433) cites Itika (2011) who provides a number of factors that have made performance management the best option for achieving individual and organisational objectives. These can be outlined under a number of key human resource management factors:

- Increase competition and the drive to cut cost by improving employee efficiency and effectiveness.

- The decline of power of trade unions over time has led to a changing pattern in working relationships.
- The recognition of the importance of continuous improvement through learning and adaptation as part of the qualities of excellent organisations. Therefore, the emphasis has shifted from performance appraisal, which is providing feedback on what could already have gone wrong, to creating an enabling environment for better performance.

Dessler, *et al.* (2011:330) claim that employers are moving to performance management for three main reasons:

- Total Quality Management

More managers are adopting the total quality management philosophy where an employee's performance is more a function of training, communication and supervision than his or her motivation. Performance appraisal tend to focus more on problems – what the employee is doing wrong while performance management puts the focus on continuous collegial feedback.

- Appraisal Issue

Traditional performance appraisal is often tense and counter-productive. There is an obvious flaw in appraising employees once or twice a year as it is not ideal to wait for the next appraisal to deal with current issues and problems.

- Strategic Planning

Performance management is based on employees subscribing to goals that stem from the organisation's strategy whereas, employees undergoing performance appraisal are not assigned clear goals and responsibilities.

Armstrong & Taylor (2014:335) affirm that performance management gets better results by providing the means for individuals to perform well within an agreed framework of planned goals, standards and competency requirements. Hunter (2012:225) concurs that the aim of performance management is to develop the capacity of people to meet and exceed expectations and to achieve their full potential to the benefit of themselves and the organisation.

2.3 HISTORICAL BACKGROUND OF PERFORMANCE MANAGEMENT

According to Kaituz, Andries, Nickloens & Truter (2015:884), performance management which originated in the 1970's, is a formal structured system evaluating and influencing an employee's productivity. Performance management was forced onto employees in many countries during the 1980s even though the problem that it was meant to manage has never been identified. Sehao (2016:28) states that performance management only gained recognition in the late 1980's. Towards the latter end of the 1980's, many systems of performance management was born, adopted and implemented at many levels of the public sector, such as the Balanced Scorecard and the Management by Objectives. Kaituz, *et al.* (2015:884) affirm that performance management was based on the goal-setting theory of Locke (1991) and was administered through performance appraisal and feedback. Performance appraisal in Australian higher education was actively encouraged by the government through substantial financial incentives which was offered in 2000. According to Seyama & Smith (2015:223), performance management was introduced in South Africa much later than countries such as Australia, New Zealand, Netherlands, England and the U.S.A. Empirical studies from South Africa demonstrates that employees are apprehensive of and resistant to the notion of performance management, perceiving it to be a corporate tool that is inappropriate for implementation in higher education institutions due to these institutions being concerned with knowledge rather than profit generation. Seyama & Smith (2012:223)

contend that those higher education institutions that first introduced performance management systems were conversant with the various models, structures and formats that had been introduced in other contexts. However, South African higher education has been confronted by implementation challenges that defeat the purpose of performance management, which is to enhance individual and organisational performance.

2.4 THE TRANSFORMATION OF SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS

Chipanza & Gwarind (2010:1) state that the advent of South Africa's political independence democratised and brought new challenges to institutions of higher learning. The key challenges facing South African higher education system remain as outlined in the Draft National Plan for Higher education in South Africa (2001:1) "to redress past inequalities and to transform the higher education system to serve a new social order, to meet pressing national needs, and to respond to new realities and opportunities". In managing performance management in higher education, Decramer, Smolders & Vanderstraeten (2013:352) assert that the climate of higher education has been described as a turbulent environment. There are several economic and political factors that have had an impact on higher education. Ramsden (1998:347) concurs that universities face an almost certain future of relentless variation in a more austere climate. Changes in the environment, mass higher education, knowledge growth, reduced public funding, increased emphasis on employment skills and pressures for more accountability have been reflected in fundamental internal changes.

Jansen (2004:293) states that there is a multitude of changes that have transformed higher education in South Africa. Some of these changes have been small and gradual, initiated from within institutions; others have been large scale changes

initiated through government and donor interventions. Gultig (2000:37) affirms that in South Africa, the higher educational changes came with South Africa's democratic elections in 1994. Government presided over a raft of policy papers and legislation. Government also set about readdressing apartheid inequalities. In higher education, this was defined as improving the status and quality of historically black universities and technikons. Badat (2010:4) concurs that the new democratic South African government committed itself in 1994 to transforming higher education, as well as the inherited apartheid social and economic structure and institutionalising a new social order. King (2002:415) affirms that dramatic changes have emerged in the way governments interact with colleges and universities. A new economic motivation is driving the State to redefine relationships by pressuring institutions to become more accountable, more efficient and more productive in the use of publicly generated resources. In addition, Badat (2010:5) affirms that the Higher Education Act of 1997 proclaimed that it was desirable for higher education institutions to enjoy freedom and autonomy in the relationship with the State, but within the context of public accountability and the national need for advanced skills and scientific knowledge. Jansen (2004:302) attests that these changes have dramatically changed the social relations on campus between staff and students, between academics and administrators, between university managers and their external communities and between government and institutions. Decramer, Smolder, Vanserstraten & Christiaens (2012:92) affirm that performance management may be adopted at higher education institutions in response to pressures related to institutionalisation, with government's accreditation agencies and research partners implicitly or explicitly pressuring higher education institutions to adopt such systems as a condition of doing business. Walwyn (2008:708) confirms that performance management systems at higher education institutions is a controversial and complex undertaking for a number of reasons, including the environment within which these institutions operate, the long time periods over which their output must be measured and the multiplicity of their objectives. The key challenge in performance management is to ensure that the outcomes of the process is the one that benefits the institution and the administrative employee. The institution seeks to maximise performance and the administrative employee seeks constructive feedback to foster development and success at institutions of higher education

2.5 THE PURPOSE OF PERFORMANCE MANAGEMENT SYSTEMS

According to Brudon (2010:109), performance management systems have emerged as a discipline that assists in establishing, monitoring and achieving individual and organisational goals. Fink & Longenecker (2001:243) state that the performance management is employed to achieve five primary goals. That include:

- Clarifying employee expectation.
- Documenting employee performance.
- Fostering employee development.
- Creating a linkage between merit pay; and
- Monitoring workforce improvement.

In addition, a performance management system can lead to improved organisational performance and contribute to other important outcomes such as improved employee involvement, commitment and motivation. Wilkinson, Bacon, Redman & Snell (2013:224) postulate that when the purpose of performance management is administrative or evaluative, the performance of employees' is used to determine important human resources decisions such as pay and promotion. In contrast, when performance management serves as a developmental purpose, the focus is on identifying the employee's strengths and weaknesses for training needs and feedback. In addition, Baron (2007:111) provides ways that performance management data can be used and which can also be implemented in higher education institutions:

- Demonstrate an organisations ability to raise competent levels.
- Assess how long it takes for new employees to reach optimum performance.

- provide feedback on development programmes including induction, coaching and mentoring in terms of increased performance or capacity to take on new roles;
- Track skills levels and movement in any skill gap in the organisation; and
- Match actual behaviour against desired performance.

Rathawat & Jha (2013:1) affirm that widespread attention has been paid to the role played by performance management and it has been strongly suggested that an effective performance management system can yield significant positive benefits to an institution. Biron, *et al.* (2011:1296) concur that performance management play an important role in an institution's success. Decramer, *et al.* (2012:100) state that a well-developed performance management system can result in improved performance at the university faculty and departmental levels.

2.6 THE EFFECTIVENESS OF PERFORMANCE MANAGEMENT SYSTEMS

Kagaari , Munene & Ntayi (2010:508) state that performance management is about directing and supporting employees to work as effectively and efficiently as possible in line with the needs of the organisation. Seldon & Sowa (2011:260) assert that if done correctly, performance management would produce significant long term efficient and effective gains for organisations. Saravanja (2011:1) states that for an effective performance management system, a synergy has to be created between performance management systems and strategic human resources management processes. Wong & Snell (2003:62) state in their research that performance management systems need to be compatible with and complimented by other human

resources system. Carl & Kapp (2004:19) also claim that an effective performance management system can contribute to the identification of training and development needs, identify barriers to performance as well as assist with succession and career planning. Lawler (2003:396) agrees that an effective performance management system is expected to accomplish a number of important objectives with respect to human capital management. These objectives often include motivating performance, helping individuals develop their skills, building a performance culture, determining who should be promoted and eliminating individuals who are poor performers. Furthermore, Carl & Kapp (2004:19) state that a performance management system which can accomplish these objectives can make a positive contribution to the effectiveness of higher education institutions.

2.6.1 FACTORS CONTRIBUTING TO AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM

Paile (2012:2) cites the White Paper on Human Resources Management Public Service (1997), which states that performance management is an integral part of an effective human resources management and development strategy. It is an on-going process in which employees and line managers strive to improve the institution's objectives. Castka, Bamber & Sharp (2003:162) purport that the overall objective of performance management is to ensure that the educational institution and all its subsystems are working together optimally fashion to achieve results desired by the institution. Gosh & Das (2015:18) identified strategies for an effective performance management system at higher educational institutions. These are:

- **The design of the performance system**

The design process should involve thorough consultation with major stakeholders. There must be agreement on the strategy at top management level. Thereafter, goals, measures and the performance targets to be

implemented must be clearly set out, only then will there be effective implementation of performance management in higher educational institutions.

- **Building a performance-oriented work culture**

For a performance management system to be successful, institutions must align their human resources to their culture because an institution becomes successful by developing a meaningful culture where performance is one of the core values.

- **Evaluator's participation and accountability**

The agreement, commitment and leadership of the management team is essential. Furthermore, the involvement of employees is also crucial and it is important that evaluators are also held accountable for their performance.

- **Achieving objectives**

The fundamental objective of performance management is to improve overall institutional performance through the improvement of employee performance. The goal is to allow employees the opportunity to progress systematically to their full potential in order to meet the institution's strategic needs and the employee's personal development goals.

Saravanja (2011:1) provides the following key factors for an effective performance management system:

- **Leadership support**

The implementation of the performance management system has to be supported and driven by top management. The leadership has to be

committed to implementing the performance management system.

- **Effective implementation**

The change management aspect of performance management should be managed strategically. The organisation's top management must drive the change process. A communication process should be put in place which will explain the benefits of performance management and communicate progress, uncertainties, fears and anxieties.

- **Proactive communication**

A proactive communication strategy and process must be followed throughout the implementation of the performance management system. In the planning and design phases, effective communication will enable buy-in from the major stake holders. In the implementation phase, communication will assist in managing resistance to change and building positive momentum. In the monitoring and evaluation phase, proactive communication will assist with learning and reinforcing achievements gained.

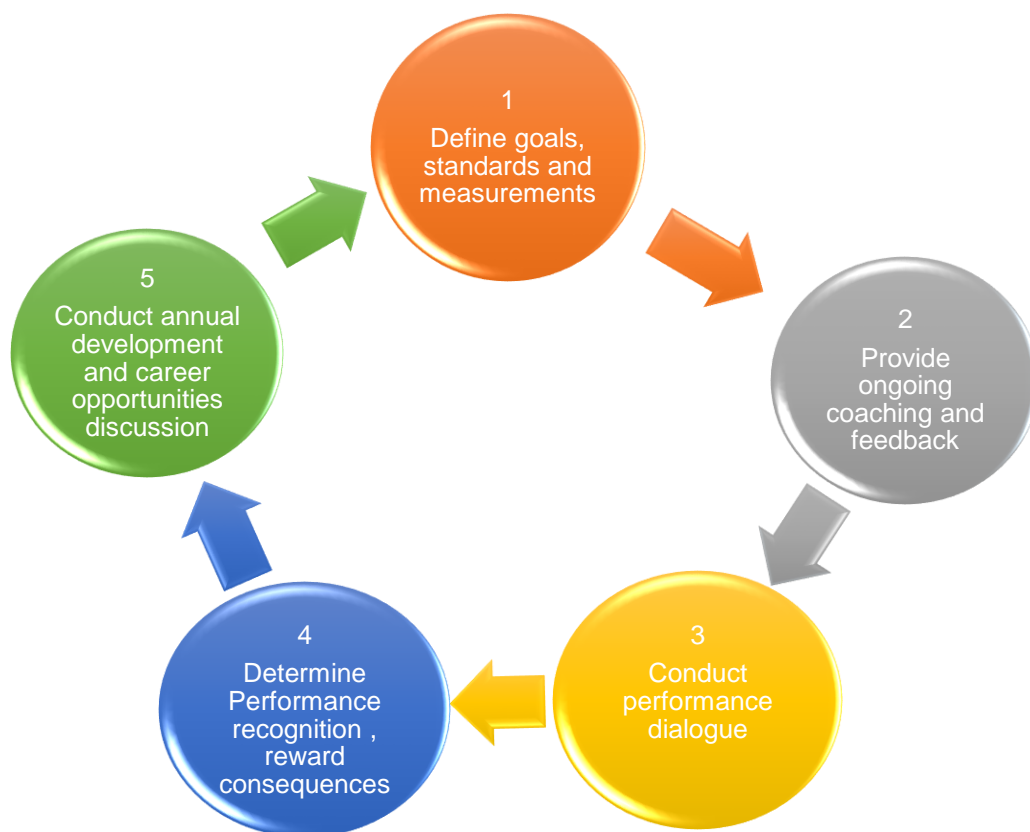
Performance management if applied correctly will ensure that fairness, continuity in the development of administrative employees as well as management involvement in staff advancement is maintained.

2.7 THE PERFORMANCE MANAGEMENT PROCESS

Mirsepasi, Faghihi & Babaei (2013:24) state that the performance management process involves aligning human resources practices with the goals of the organisation to ensure that the performance and development of employees are enhanced. In addition, Mahmood & Joma (2015:105) concur that the performance management

system also involves employee development, determines rewards and compensation, enhances motivation, facilitates legal compliance and human planning. In facilitating employee development, performance management assesses deficiencies in performance levels and requisite skills thereby encouraging institutions to determine specific training and development needs. Performance management is the foundation for employee performance engagement. The Columbia Education Report (2007) state that when the process of performance management is completed in a thoughtful and coherent manner, with active engagement of both manager and staff member, the results for all parties (including the university as a whole) are positive. Bussin (2013:10) outlines five phases of the performance management process as illustrated in (Figure 2.1) below:

FIGURE 2.1 THE PHASES OF THE PERFORMANCE MANAGEMENT PROCESS



Adapted from: Bussin, M. (2013:10).

2.7.1 EXPLANATION OF THE PHASES IN THE PERFORMANCE MANAGEMENT PROCESS

PHASE 1: Defining goals, standards and measurement

Nel, Werner, Botha, Du Plessis, Mey, Ngalo, Poisat & Van Hoek (2014:221) state that the organisational strategic goal must be adopted by the department and the individual. Martin & Whiting (2013:150) purport that setting goals is one way in which current expectations of employees can be made clear and allows the focus of an individual's work to be integrated and aligned with the overall goals of the organisation. Mirsepasi, *et al.* (2013:27) affirm that a detailed explanation of organisational goals can improve the effectiveness of performance.

PHASE 2: Provide on-going coaching and feedback

Bussin (2013:13) affirms that throughout the performance management process, managers should continue to discuss employee progress. Bascal (2012:27) affirms that on-going communication is a two-way communication channel between the manager and the employee to track progress, identify barriers and share information which both parties need to succeed. Pulakos (2004:7) affirms that for the feedback process to work effectively, it must be a two-way communication process and the joint responsibility of managers and employees. The responsibility of managers is clear. They must provide feedback in a constructive, candid and timeous manner. Employees' responsibilities include seeking feedback to ensure they understand how they are performing and reacting favourably to the feedback received. Gosh & Das (2015:20) affirm that after the completion of performance management, results must be communicated and discussed by the employer. If performance results are discussed the employee can improve his or her performance. Meyer & Kirsten (2011:64) concur that managers should have regular meetings and discussions to keep communication lines open and be available for guidance, support and coaching. Pulakos (2004:7) contend that having an effective, on-going performance

conversation between managers and employees is the single most important determinant of whether or not a performance management system will achieve its maximum benefits from a coaching and development perspective. A study conducted by Ghosh & Das (2015:20) reaffirm that communication is positively related to performance management in higher learning institutions.

PHASE 3: Conduct performance management dialogue

Bussin (2013:14) states that as a supplement to on-going communication process, it is important to hold periodic discussions or review. According to Brown, Hyatt & Benson (2010:376), performance management process affirm an employee's self-worth and it shows that the organisation and supervisors hold them in high regard. Martz, McKenna & Siegall (2001:108) in their study in applying standard performance model to a university setting at the College of Business in the USA state that the critical need is to minimise any confusion or ambiguity associated with the process and to make absolutely certain that all faculty members get clear, timely and precise feedback on the extent to which their performance is meeting (or not meeting) expectations. Crawshaw, Budhwar & Davis (2014:236) state that supervisors should provide regular feedback to employees since timely and direct feedback can correct performance deficiencies and prevent further errors. Lyon (2008:470) postulates that performance evaluation is formative and intended for employee development. Wong & Snell (2003:64) concur that employee performance should not focus narrowly on task performance, but emphasis should be place on employee development.

PHASE 4: Determine performance recognition, rewards and consequence

Bussin (2013:14) purports that the relationship between a performance management system and the reward system is clearly established. After the performance review has taken place, the manager should utilise the salary-planning guidelines to determine the appropriate reward. The actual performance of the employee must be

matched against agreed goals and outputs. Ferreira & Otley (2009:272) postulate that rewards are typically the outcome of performance evaluation and rewards may range from expression of approval and recognition by senior management to financial rewards or long-term progression and promotion. Armstrong & Taylor (2014:348) concur that if carried out properly, performance management can reward employees by recognition through feedback, the provision of further opportunities to achieve, the scope to develop skills and on-going guidance on career paths. Armstrong & Taylor (2014:348) affirm that performance management is also associated with pay by generating the information required to decide on pay increases or bonuses related to performance, competency or contribution.

PHASE 5: The annual development and career opportunities discussions

Bussin (2013:15) asserts that too few organisations incorporate their overall succession planning and talent management as part of an on-going performance management system. Khasawneh (2011:542) suggests that institutes for higher education should put more effort in the training and development of their faculty members to ensure talent retention and career progression. However, Bussin (2013:15) states that to motivate and retain talent, the outcome derived from performance management systems should provide opportunities for an employee's career path within the organisation. Hill (2009:4) contends that promoting people from within the organisation will provide more opportunities for people to grow and develop and the likelihood that the talent will be retained. In addition to Figure 2.1,

Hence, Busi & Bititci (2006:14) state that a performance management process should include key elements. These include:

- A structured methodology to design the performance management system.
- A structured management process for using performance measurement (evaluation) information to help make decisions, set performance goals, allocate resources and report success.

- Theoretical guidelines on how to manage performance management and how to use the information and knowledge arising from performance measurement systems; and
- A review process to ensure that measures are constantly updated to reflect any changes in strategy and/or market conditions.

Bussin (2013:17) states that the main challenge of performance management is to ensure that the outcomes' of the process is one that will benefit the organisation and the employee. The organisation seeks to maximise performance, while employees seek valid and constructive feedback to foster development and success in the workplace. Performance management is an opportunity to communicate to employees their personal role in the success of the organisation and to evaluate their outputs against agreed performance standards.

2.8 FACTORS INFLUENCING AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM

There are two outcomes that need to be managed to ensure an effective performance management system. These are managing good and poor performance of an individual or that of a team.

2.8.1. MANAGING PROFICIENT EMPLOYEE PERFORMANCE

According to Schultz, *et al.* (2003:79), managers who seek to influence performance of their employees need to ensure that good performance is followed by positive consequences. Ideally good performance should not only lead to recognition but also

to material benefits for the employees. The important point is that there should be a clear link between good performance and reward in the organisation. Werner, Bagraim, Pieterse-Landman, Potgieter & Viedge (2012:135) state that in South Africa institutions that have not been able to link pay directly to performance have a misguided faith in the ability of pay to change performance. Government departments and municipalities are hopeful that a new pay system will motivate employees to deliver improved performance. Hunter (2016:238) asserts that in the initial stages of a performance management programme the satisfaction that employees experience from achieving their performance goal will sustain their high performance but this intrinsic motivation is usually not sufficient to maintain performance at a high level indefinitely. Therefore, when a performance management programme is introduced, it should be kept in mind that some form of reward system should be introduced to maintain performance at a high level.

2.8.2 MANAGING UNDER-PERFORMING EMPLOYEES

According to Paile (2012:31), poor performance is costly and impacts negatively on the institution. The causes of poor performance vary from institution to institution. Management should understand the nature of such causes and undertake corrective action resolve these problems. Armstrong (1994:80) states that poor performance is a result of inadequate leadership, poor management or defective systems of work. William (2003:164) affirms that in dealing with poor performance, it is important to identify its causes. There is a common tendency to blame the employee rather than the job when performance is poor. To misdiagnose a performance problem and attribute the cause to the performer does little to solve the problem. Armstrong (1994:80) attests that managing under-performance is a positive process which is based on feedback throughout the year and looks forward to what can be done by individuals to overcome performance problems and, importantly, how managers can help. Amos, Ristow, Ristow & Pearse (2008:299) provide five basic steps required to manage under-performance:

STEP 1: Agree that there is a problem

Identify and reach mutual agreement that there is a performance problem. This problem may be insufficient or inconsistent performance in terms of the agreed objectives and standards. The manager needs to ensure that the individual's performance has been assessed and that there is sufficient evidence of a performance problem.

STEP 2: Explore and identify reasons for the shortfall

Identify the reasons or causes of the performance problems. The aim should be for managers and the individual to jointly identify the facts that have contributed to the problem. The manager needs to be able to distinguish between the reasons provided by the employee and the actual cause of the performance problem (Armstrong, 1994:82).

STEP 3: Agree on corrective action

Amos, *et al.* (2008:299) assert that this step depends on the causes of the performance problem. If it is an ability problem, training and development is an option. Other options include coaching, mentoring, re-designing the job around the employee's ability or transferring the individual to a job more suited to his or her ability. However, if all options have been exhausted, dismissing the person on grounds of incapacity either for ill health or poor performance is the last resort.

STEP 4: Implementing corrective action

This may involve making arrangements for training or additional resources, depending on the reason for poor performance and the agreed-upon or most appropriate action (Amos, *et al.* 2008:299).

STEP 5: Monitoring progress

Depending on the corrective action, the individual's progress needs to be monitored and feedback needs to be provided to the employee (Mankin, 2009:635). Performance management, if properly monitored, can lead to improvement in the performance of individual employees, teams and the organisation.

2.9 THE ROLE PLAYERS IN THE PERFORMANCE MANAGEMENT PROCESS

The role players in the performance management process needs to be an integrated, collaborative effort that draws on the experience and expertise of both the academic and support staff and transcends traditional distinction between academic and support staff in institutions of higher learning. The development of the system needs to draw on the expertise and the active participation of the employee, human resources department, managers and management.

2.9.1 THE ROLE OF THE EMPLOYEE IN THE PERFORMANCE MANAGEMENT PROCESS

Paile (2012:33), states that employees should understand and support the performance management system. Paile (2012:33) further asserts that both the supervisor and the employee should prepare for the meeting independently by gathering relevant information such as job description, information concerning previous training and development, any previous performance review documents and relevant personal data. Bell (2009:1) affirms that the role of the employee in the performance management process is to:

- Work towards achieving their individual goals, which helps the organisation reach its objectives.
- Takes responsibility for their own professional and career development.
- Be open to feedback by accepting constructive feedback and taking the initiative to improve.
- Actively participate in setting performance standards with their supervisors.

2.9.2 THE ROLE OF THE HUMAN RESOURCES DEPARTMENT IN THE PERFORMANCE MANAGEMENT PROCESS

Bhattacharya (2011:37) states that the role of the human resources department is critical in the execution of the performance management system, from the design to the execution. The human resource role is manifold and each of these roles well played, can be highly beneficial to the organisation. Bell (2009:3), affirms that the design element of the performance management system is important, but where the human resources department really adds value, is during the execution of the system. Geneen (2010:23) postulates that the human resource role in performance management is not just related to the design of the system but it has moved to a more substantial role of being a mentor, regulator and to look on to the details of why employees performance is below par. Bell (2009:4) further states that in this new role, human resources departments also organise mid-term reviews to control the lows and increases the highs with timely checks on a regular basis. Bhattacharya (2011:37) outlines some of following functions that the human resources department should be responsible in the performance management process. They must:

- Design the performance process.

- Set reasonable deadlines for completing each step of the process.
- Provide training to all executives, managers and employees on the process; the steps involved, their responsibilities and the benefits to be gained by all.
- Provide managers with regular training on how to give feedback as well as on how to coach and develop their employees.

Hence, Mayhen (2008:14) contends that the strategy, implementation and functional steps in any performance management system rest squarely on a human resources leader and the department. Mayhen, (2008:14) further postulates that the human resources managers and directors generally determine everything from the level of performance standards the organisation can expect its employees to achieve to what percent salary increases are reasonable for various performance levels.

2.9.3 THE ROLE OF THE UNION IN THE PERFORMANCE MANAGEMENT PROCESS

Bhattacharya (2011:36) affirms that the union plays a significant role in the formulation, implementation and evaluation of the performance management process. The main purpose is to ensure that the process is free from discrimination and to ensure equity and fairness in the implementation process. During the review process a union representative may be present to ensure that the process is carried out professionally and that feedback is constructive rather than destructive. The union also ensures that the institution will exhaust all avenues available for retraining or up skilling an employee who has continually under-perform rather than take the option of dismissal.

2.9.4 THE ROLE OF THE LINE MANAGER IN THE PERFORMANCE MANAGEMENT PROCESS

According to Geneen (2010:1) managers play a critical role in delivering performance. Managers need to be able to consistently deliver on performance and results and get the best possible performance and results from the teams and individuals they manage. Armstrong & Bacon (2004:117) affirm that performance management is a tool that helps managers to manage effectively, by ensuring that their teams and the individuals they manage:

- Possesses the knowledge and skills they need to perform to the required standards.
- Knows and understands what is required of them.
- Receives the support from organisations to perform.
- Gives feedback and availed of the opportunity to discuss their performance.
- Are encouraged to discuss and contribute to identifying and achieving individual and team objectives.

Mankin (2009:315) state that an effective performance management process enables managers to evaluate and measure individual performance and to optimise performance and productivity. This can be achieved by:

- Aligning individual employee's day-to-day actions with strategic business objectives.

- Providing clarity and accountability related to performance expectations.
- Documenting individual's performance to support compensation and career planning decisions.
- Establishing focus for skill development and learning activity choices.

De Waal (2002:18) states that the implementation of a performance management system is a gradual process in which managers, who are reluctant to change, need to be convinced of the merits of the process. Baird, Schoch & Chen (2012:163) assert that managers need to be aware that an effective performance management system provides management with an insight into how well an institution is performing its task and to what extent the objectives and goals are being achieved. Bell (2009:4) states that performance management engages managers in an on-going process in which they are expected to get involved in performance planning, coaching, assessment and review. The effectiveness of performance management rests largely on the shoulders of management. David (2004:3) contends that in managing performance supervisors must ask the basic question: "What are the obstacles that prevent you from doing your job effectively"? Supervisors should take notes on the obstacles and address those easiest to correct first. Difficult obstacles requiring intervention should be shared with senior management. Junejo, *et al.* (2010:315) confirm that the role of the supervisor in the performance management process is to effectively keep checks and balances on administrative staff.

2.9.5 THE ROLE OF TOP MANAGEMENT IN THE PERFORMANCE MANAGEMENT PROCESS

According to Winter (2009:129), a key leadership strategy is the crafting of a vision for managed employees. This means securing a wide involvement of academic,

administrative and general staff in a broadly defined value-based statement of what the institution and its members stand for, and what values will shape the identity of the institution in the future. Saravanja (2011:1) asserts that an effective performance management has to be supported by and driven by top management and that leaders should be encouraged to develop the capacity to create a shared vision, inspire staff and build a common purpose. Biron, *et al.* (2011:1298) concur, stating that the amount of “buy-in” senior managers have in the system, is likely to have a direct effect on the success or failure of the system. Moreover, senior management involvement may contribute to the effectiveness of the performance management system by means of a stronger alignment between organisational goals in human resources practices. Mansor (2011:588) concluded that the effectiveness of performance management depends on management commitment, a performance oriented culture and employee involvement. Ratnawat & Jha (2013:4) contend that sending positive signals in terms of good organisational practices like top management support, communication about performance expectations and training of managers can improve the effectiveness of the performance management.

Biron, *et al.* (2011:1298) state that performance management is likely to be more effective when senior executives signal this process as integral to the organisation. Ramsden (1998:363) highlights the following pointers that administrative leaders need in order to stay close to the administrative action and bring out the highest performance of their colleagues:

- Leadership motivates people intrinsically by improving expectations and thus, builds on the primary existing motivator of staff.
- Effective higher education leaders filter out bureaucratic demands, leaving employees free to get on with their primary job.
- They balance the natural tendency of their colleagues to pursue open-ended

problems by providing clear goals, setting economic constraints, timeframes and precise outcome criteria.

Mapesela & Strydom (2005:6) affirm that performance management need to be an integrated collaborative effort that draws on the experiences and expertise of all role players. Biron, *et al.* (2011:1296) recommend that an effective performance management system should be constantly evolving and proactive rather than reactive, and that the system should be designed to recognise not only individual performance but also overall team performance. Furthermore, Franco-Santos, *et al.* (2014:17) state that performance management can be effective when outcomes are measurable, controllable and predictable.

2.10 AN OVERVIEW OF PERFORMANCE MANAGEMENT SYSTEMS IN HIGHER EDUCATION INSTITUTION

According to Biron, Farndale & Paauwe (2011:1294), performance management refers to a range of activities engaged by institutions to enhance the performance of individuals and units, with the ultimate purpose of improving institutional effectiveness. Martin & Whiting (2013:135) postulate that performance management is an all-encompassing process comprising of many elements that make up good practice in people management. While, Crawshaw, Budwar & Davis (2014:235) considers a performance management system as a primary vehicle through which organisations: (1) assign work, (2) set goals, (3) determine standards, (4) evaluate performance and (5) distribute rewards or punishment. Mirsepasi, Faghihi & Babaei (2013:24) concur that performance management is a systematic effort to improve performance through an on-going process of establishing desired outcomes, setting performance standards, collecting, analysing and reporting on streams of data to improve individual and collective performance. Performance management in higher learning institutions must assist employees to discover their own strengths, recognise their weaknesses, and to

develop their knowledge, skills and attitudes in terms of their expectations and abilities. In addition, performance management must empower employees to enhance their individual career development through informed decision-making and focused work-integrated learning training (Singh & Twalo, 2015:81). Franco-Santos, Rivera & Bourne (2014:9) regard performance management in higher education as the evolving formal management practices and informal mechanisms used to ensure that the institution attains its aims and objectives, satisfies its stakeholders and remains sustainable.

2.11 THEORIES ASSOCIATED WITH PERFORMANCE MANAGEMENT SYSTEMS FOR HIGHER EDUCATION INSTITUTIONS

The dominant performance management models emphasise the processes of formulating performance objectives, measuring performance, providing feedback, and linking performance to pay. Stiles & Kulvisaechna (2003:9), contend that the link between human capital and performance is based on two theoretical strands, the goal setting theory and the expectancy theory. The expectancy theory of motivation which comprises of three elements: valence or the value attached to rewards, instrumentality or the belief that the employee will receive the reward upon reaching a certain level of performance, and expectancy, the belief that the employee can achieve the performance level required. Wayne, Liden, Kraimer & Graf (2003:580) suggest that the expectancy-valence theory when applied to the educational and work-settings will result in employees putting forth more effort in performing their jobs or tasks if they believe that good performance will result in both intrinsic and extrinsic rewards. The goal setting theory and the expectancy theory emphasises the importance of setting individual performance objectives which should be linked to the institutional goals. However, more emphasis is placed on the goal-setting theory as it is closely linked to performance management systems.

2.11.1 THE ROLE OF THE GOAL-SETTING THEORY IN PERFORMANCE MANAGEMENT SYSTEMS

Patterson (2001:159) states that a set of goals can provide a sense of direction for institutional performance to be assessed and controlled. The role of the supervisor is to identify and communicate the overall objectives of the department to their staff. Discussing and reaching agreement at the beginning of the cycle, together with periodic feedback and modification is therefore essential.

According to Armstrong (2009:620), the goal setting theory, as developed by Latham and Locke (1979) highlights four mechanisms that connect goals to performance outcomes:

- They direct attention to priority.
- They stimulate effort.
- They challenge people to bring their knowledge and skill to increase the chances of success.
- The premise that more challenging the goals, the more people will draw on their full repertoire of skills.

Crawshaw, Budwar & Davis (2014:235) assert that the goal setting theory is a component of the performance management process, which seeks to bridge the gap between achieved and desired performance. In order for employees to know what is expected of them, it is critical that goals are clear and unambiguous. Mankin (2009:346) concurs by citing Lock and Latham's (1979) field research at a logging company, involving 292 supervisors showed that those who set specific production goals achieved the highest productivity.

2.11.2 GOAL-SETTING THEORY IN HIGHER EDUCATION AND ITS ALIGNMENT TO PERFORMANCE MANAGEMENT SYSTEMS

Williams (2002:83) states that one of the most robust research findings in the behavioural sciences is that goal setting has a beneficial effect on employee work performance. Armstrong (2009:620) further contends that the goal setting theory underpins the emphasis on performance in setting and agreeing on objectives against which performance can be measured and managed. Martin & Whiting (2011:149) concur that objective setting is one way in which current expectations of employees can be made clear and allows the focus of an individual's work to be integrated and aligned with the overarching goals of the higher education institutions. Bussin (2013:147) affirms that performance should improve if the objectives are made clear to the employee. Furthermore, Bussin (2013:147) attests that employees will increase performance if they know what is expected of them, know how to do it and the performance standards required.

Doell (2012:6) states that aligned goals must support the individual's goal, supervisor's goals, manager's goals, department's goals and the university goals. Aligned goals help the individual to see how the day-to-day activities contribute to the success of the university. Furthermore, Martin & Whiting (2011:149) state that rather than trying to set objectives, managers would be better advised to seek to initially agree on objectives with their staff. Hunter (2012:218) states that employees generally prefer to be involved in the goal-setting process from the beginning and, where appropriate, managers should arrange for trade union representatives to participate as well. Adsit, London, Crom & Jones (1994:24) in their study, affirm that managers who encourage participation in the setting of objectives showed high levels of performance in their departments. Hence, recent empirical studies have also established that participation in the setting of goals led to better accomplishment of complex tasks and the

development of effective task strategies. According to Tam (2008:29), complying with the principles of goal setting has proven problematic in the higher education context. Tam (2008:29) found that some goals are broad and ambiguous and that the university or system is left with no chance to accomplish the goals. Thus, the efforts to generate normative statements of the goals of the university tend to produce goals that are either meaningless or dubious. Patterson (2001:161) states that one of the notable features of universities is their complexity of mission and multiplicity of goals. Richard & Said (2012:46) contend that because of the complexities and politics of the university environment, goal setting models need to be adapted and modified to make them applicable to the university setting. Mbali (2006:173) states that there are conceptual problems with imposing goal-setting in higher education. Firstly, the output of higher education is less easy to quantify and secondly, the nature of performance in higher education is more complex, than that of an assembly line manager. Thus, Tam (2008:29) states that the proliferation of various quantitative performance indicators to evaluate the performance of higher education was recommended. Which spearheaded a major shift in how goals are set. Goals need to be identified and clearly articulated when setting individual and institutional goals. Richard & Said (2012:46) claim that goals that meet the S.M.A.R.T. criteria in higher education setting is more likely to result in higher performance. Hence, goals should be specific, measureable, achievable, relevant or realistic and time-bound. Martin & Whiting (2011:150) attest that the S.M.A.R.T. approach provides an ideal way in setting objectives. Thus, based on the S.M.A.R.T. approach, Doell (2012:13) provides three tips when setting goals:

- Make the goals consistent with the expectations for similar jobs across departments.
- Write the performance objectives in a way that allows the employee to meet and/or exceed it.

- Refrain from including too many different work activities and outcomes in a single goal;

Research conducted by Frese (2005:692) reported that proactive goal setting focuses on maximizing the positive effects of goals by developing specific time-bound and challenging goals to which participants feel committed. However, not all objectives can be defined using the S.M.A.R.T. approach because many favour the qualitative rather than quantitative measurement of goals, which is more subjective. Patterson (2001:167) states that in the current political and financial context, universities are required to identify their institutional goals and purpose, which in turn identifies the goals of the employees. Studies conducted by Boswell (2006:1498) agrees that employees with greater understanding of their institutional strategic objectives and how to contribute to them reported higher levels job satisfaction, greater commitment towards the institution and ultimately the desire to stay with the institution. Ferreira & Otley (2009:271) assert that goal-setting is a critical aspect of performance management and contend that goal setting can be used for evaluating and rewarding performance.

2.12 THE PERFORMANCE MANAGEMENT PROCESS AT HIGHER EDUCATION INSTITUTIONS

In the context of higher education, Walwyn (2008:710) provides the following ingredients for a successful performance management system at institutions of higher learning. There should be:

- A judicious choice of performance indicators.
- A transparent and inclusive evaluation process.

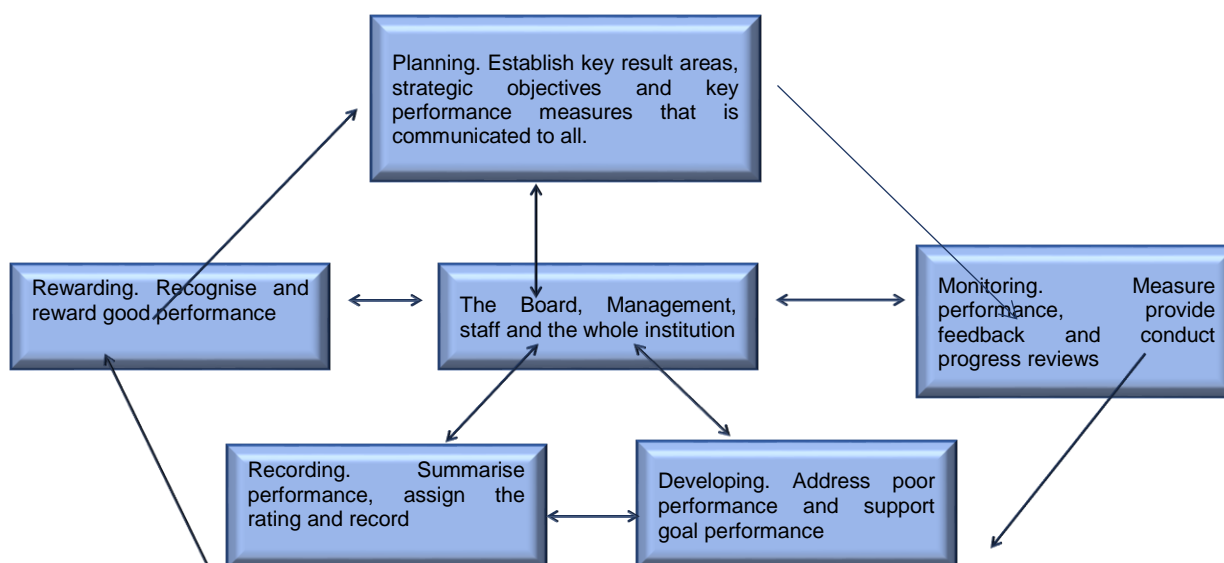
- An environment which supports creativity and independence while ensuring quality; and
- A strong link between performance and resource allocation.

Ghosh and Das (2013:268) proposed a performance management model for higher education systems. This model which is depicted in (Figure 2.2) shows that performance management system comprises of:

- Planning work and setting expectations.
- Continually monitoring performance.
- Developing the capacity to perform.
- Periodically rating and recording performance.

Figure 2.2 shows the process that institutions of higher education can adopt. The model is based on the premise that the most important aspect of performance management is to monitor and assess performance. Furthermore, it ensures that goals are achieved and highlights poor performance wherever apparent. Although a performance management and development policy for Durban University of Technology has been drawn in 2015, the policy places emphasis only on inadequate performance. There is no reference in the policy on recognising and rewarding good performance as depicted in Figure 2.2.

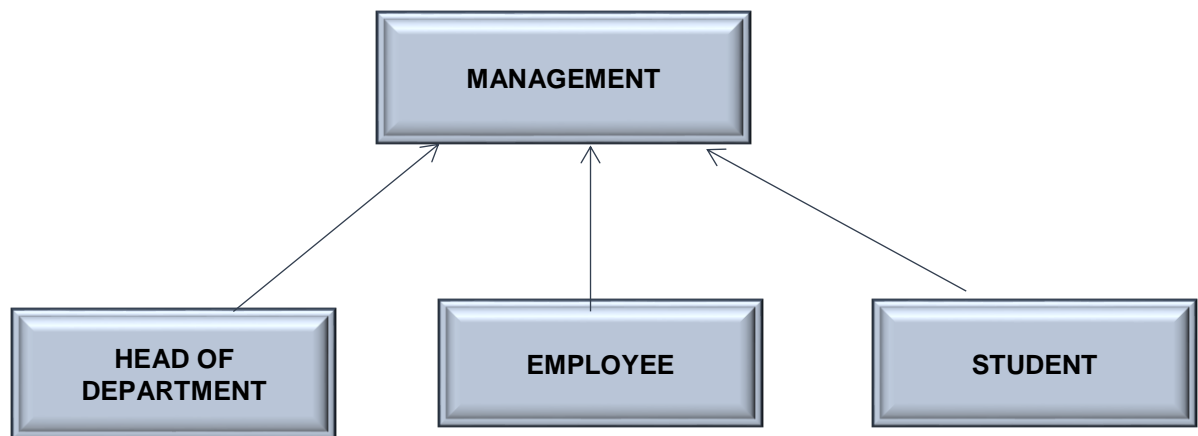
FIGURE: 2.2 PERFORMANCE MANAGEMENT PROCESS IN HIGHER EDUCATION



Adapted from: Ghosh, S. & Das, N (2013:268).

Ghosh & Das (2013:271) developed a new performance model which is depicted in Figure 2.3. Figure 2.3 has been designed in order to assess the performance of the faculty. The model makes provision of the three feedback forms. The First form will be completed by the specific employee. The Second form will be completed by the head of department and the third form will be filled by students. After collecting the feedback, it will be sent to the management department and they will appraise the employee with the information from the three sources. The information will be analysed to determine whether the employee's performance is adequate or above expectation or needs intervention.

FIGURE 2.3 THE NEW PERFORMANCE MANAGEMENT MODEL



Adapted from: Ghosh,S. & Das, N. (2013:271).

Armstrong (2009:625) states that an important concept of performance management is that it is a continuous process that reflects good management practices of setting directions, monitoring and measuring performance and taking action accordingly. Furthermore, Armstrong (2002:283) postulates that to ensure that a performance management culture is built and maintained, performance management needs to have the active support and encouragement of top management who must make it clear that performance by employees is regarded as a vital means of achieving sustained organisational success. Thus, Armstrong & Taylor (2014:350) contend that performance management is more likely to be successful when:

- There is more performance management training for managers covering performance coaching and constructive feedback.
- Employee recognition is emphasised.

- Performance management is strategically integrated with human resource management and the business plans of the organisation.
- Human capital is valued.
- There is a positive employer and employee relation climate.

2.13 PERFORMANCE MANAGEMENT AT HIGHER EDUCATION INSTITUTIONS

Molefe (2010:1) states that the past approaches to performance management in higher education in South Africa were given limited emphasis by the government and its contribution to enhance institutional performance and quality has been neglected. Consequently, universities adopted a *laissez-faire* approach to performance management and thus operated on a high trust basis within an ethos that emphasised independence of thought and scholarship, academic freedom and collegiality. According to Carl & Kapp (2004:17), performance management systems need to contribute to both the effectiveness of the institution and the quality of work of all employees. Thus, the focus has to be on the individual to ensure both institutional and individual effectiveness, growth and development. In addition, academic and administrative staff need to account regularly on their personal and unit performance. Jansen (2004:310) states that such performance determines not only promotion but also the remuneration and retention of an employee. Mbali (2006:176) contends that a performance management system in higher education institutions should be:

- Aligned to the strategy of the university.
- Uniformity across all departments within the university.
- Link pay for performance of individuals.

Burton (2005:20) posits that the burden of management will be eased if the educational establishments include the following structures when developing a performance management system:

- A mission statement which refers to the staff and contains explicit and shared values that serve as a basis of planning.
- A development plan shared and understood by all staff which will translate stated values into action.
- The involvement of all appropriate staff in the planning process.
- Review and evaluation of the development plan, as well as the impact on the institutional goal.

Furthermore, Ramsden (1998:368) highlights the following factors that universities need to manage an effective performance management system:

- Help staff embrace change and enable them to see every change as an opportunity.
- Enable university staff to realise the highest standard of excellence and creativity by combining freedom with discipline.
- Commitment to help staff to develop their skills and consequently reward and recognise them for their performance.

Research conducted by Mapesela & Strydom (2005:5) assert that existing performance management system need to be adapted to the needs and vision of higher education institutions followed by the gradual introduction of the system that allows for a process of institutional transformation and systematic adjustment.

Findings by Decramer, *et al.* (2012:99) affirm that employee performance management at universities have developed their own regulations and strategies concerning planning, monitoring and evaluation of individual employee. Junejo, *et al.* (2010:319) also confirm that other factors that contribute to institutional performance management is to communicate performance standards or key performance indicators to employees at the beginning of a session to ensure a proper understanding of these standards. However, Wong & Snell (2003:57) postulate that performance management systems should not concentrate solely on poor performance, while neglecting the positive attributes of the employee. The overall objective of performance management systems is to ensure the optimal working of an institution and all of its subsystems in order to achieve the results desired by the institution (Castka, Bamber & Sharp 2003:162).

2.14 IMPLEMENTING A PERFORMANCE MANAGEMENT SYSTEM

According to Seotlela & Miruka (2014:178), implementing a well-designed performance management system increases motivation, self-esteem, helps improve performance, clarifies job tasks and duties, provides self-insight and development opportunities, and clarifies supervisors' expectations. However, Seotlela & Miruka (2014:178) attest that major challenges associated with effective performance management implementation lies in the system being poorly developed or training and communication has not been transferred into the organisation to support its implementation. Karuhanga (2013:223) states that the major challenges impacting on the implementation in universities can be categorised as: lack of a formal performance management environment; limited employee engagement; institutional systems and structural constraints; institutional governance challenges; lack of motivation and low staff morale, restricted cash flow and poor physical infrastructure.

2.15 THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT AT INTERNATIONAL EDUCATIONAL INSTITUTIONS

According to Baron (2007:110), performance management systems are designed to assess inputs to the performance process in terms of the skills and experience that people bring to the job as well as the outputs in the forms of achievement of objectives. Furthermore, it has been established that organisations are managing performance not just in terms of what people do but how they do it. Grosjean & Grosjean (2000:11) provide a number of intermediary agencies that are responsible for administering the performance agenda. These include the Higher Education Funding Councils of England, Higher Education Funding Councils of Wales and the Higher Education Funding Councils of Scotland which administers the Research Assessment Exercise (RAE) and the Higher Education Quality Council which administers quality audits and the Teaching Quality Assessment (TQA). The (RAE) and (TQA) represent longstanding programmes of performance assessments. According to Franco-Santos, *et al.* (2014:7), the performance management mechanism in the United Kingdom's higher education institutes can be classified into two categories namely: steward-based and agency-based. The stewardship approach focuses on long term outcomes, through people's knowledge, values, autonomy and shared leadership within a high trust environment while the agency approach focuses on short-term results or outputs through greater monitoring and control.

Dobson (2000:209) asserts that the administrative employee plays an important role in the management of their universities, and their role has increased in complexity. This means that administrative employees need to be highly qualified. Melo, Sarrico & Radnor (2010:247) in their research at a Chartered University in the U.K. showed that administrative staff's performance is effectively measured within the central administration, given that there is line management. The performance management process at the Chartered University begins with each member of staff discussing with the Director their service, objectives and ways of meeting them. Their

performance is then compared with the pre-established objectives. Within departments, non-academic staff is subjected to an annual review process that is assessed by heads of department.

Grosjean & Grosjean (2000:21) state that Netherlands was among the first European countries to institute a formal performance model system in the mid 1980's. The original approach combined self-evaluation, with peer review by visiting expert committees. Despite the State strongly advocating performance indicators that should be used to measure performance, this was strongly resisted by universities. King (2002:426) claims that Netherlands advocated using performance measures as a means of comparing institutional productivity and performance. However, university management also advocated the adoption of performance measure only when they are premised on the assumption that the results will be used in a non-competitive manner, to improve one's own performance. Thus, Grosjean & Grosjean (2000:21) affirm that the performance system in Netherlands was refined with more autonomy granted to universities but in exchange for co-operation with the State in the development of a comprehensive system designed to regularly assess performance. Decramer, *et al.* (2012:99) outline the adoption of employee performance management at a Dutch higher education institute which is much broader. Employees are entitled to annual consultation with their line manager regarding how they are expected to perform. In addition, a periodic assessment is conducted regarding how the employee has performed. In an effort to meet these demands for employee performance management, Dutch universities have developed their own regulations and strategies concerning planning, monitoring and evaluation of individual employees. However, Analoul, & Fell (2002:279) state that little has been reported in the literature on the perception and understanding of administrative staff regarding the processes involved in their performance management, within the higher educational establishments. At the University of Bradford, performance management for this group of employees has hitherto taken a voluntary form. In response to this vacuum,

Anoaloui & Fell (2002:279) carried out an empirical survey in four departments of this institution in order to explore the perceptions, views and preferences of the administrative staff of the performance management process and its related issues. The researcher's findings indicated that there is little or no provision for formal dialogue between management and staff as to performance expectations, personal goals, opportunities career development and training needs. Saravanja (2011:3) concludes that performance management system implementations must be continuously monitored and problems must be detected at an early stage to enable prompt corrective action.

2.16 THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT AT A SOUTH AFRICAN EDUCATIONAL INSTITUTION

According to Carl & Kapp (2004:17) the history of performance management in higher education has not always been one of acceptance and success. Molleman & Timmerman (2003:98) found a built-in conflict between the nature of professionals and performance management systems. They found that professionals believe that only other professionals (their peers) can evaluate their work. Thorpe & Beasley (2004:339) found an overwhelming negative effect of performance management on the relationships between higher education staff and decision makers. Furthermore, Furnham (2004:86) found performance management systems to be inconsistent and ineffective. Ratnawat & Jha (2013:4) cites the study of Ron Drew (2009) who emphasised three shortcomings contributing to the failure of performance management systems. Drew (2009) found that the framework used to view, analyse and discuss performance is too narrow, performance solutions are not addressing the effective habits of the performer and the design step of the performance management system, is often not properly defined or even ignored. Bussin (2013:153) concurs that a performance management system that is not well designed and implemented is counterproductive. Walwyn (2008:720) contends that performance management systems in higher education institutions in South Africa are highly flawed. For instance,

those institutions which are disadvantaged by the poor correlation between excellence and reward are unable to provide appropriate incentives to their staff and are in some cases struggling to retain their top employees. Mapesela & Strydom (2005:2) cites the research project on performance management of staff in higher education and Further Education Training (FET) institutions undertaken by the Centre for Higher Education Studies and Development (CHESD) at the University of Free State. This study reflected that numerous shortcomings still exist in the performance management systems at certain higher education institutions in South Africa. Some of the findings point to the fact that performance management in South African higher education institutions is not only a poorly conceptualised issue, but it also remains to be poorly executed process which is failing to achieve its intended purpose. Research by Ory & Braskamp (1981:275) found that the information used in performance management was more credible, useful and accurate for self-improvement rather than for promotional purposes. Thus, it is important to note that some international educational institutions develop an effective and adequate performance management system for specific administrative purpose, particularly as a basis for giving promotion and rewards to their administrative and support staff (Mahmood & Joma, 2015:98).

Carl & Kapp (2004:20) state that a performance management system has been developed and implemented since 1998 in the Faculty of Education at the University of Stellenbosch. The University took into account a number of premises when they developed an effective performance management system. These premises were:

- That within the scope of each employment agreement period the focus will necessarily be on previously determined key performance areas and not on the total spectrum of a staff member's work.
- That performance management consists of two clear dimensions, namely; performance development and performance management.

- That the general guidelines on the expectations that are set for staff per post level should be made available to them from the outset.
- That performance management is essentially based on effective communication and negotiation;
- That performance management must be characterised by realistic expectations, equity, transparency and even-handedness.

Armstrong (2009:619) states that the overall aim of performance management is to develop the capacity of staff to meet and exceed the expectations and to achieve their full potential, to the benefit of both the employee and the organisation. Mahmood & Joma (2015:98) contend that in the educational setting, performance management systems are used in most cases for promotion to higher positions, with corresponding pay increases and other rewards, and this is based on performance management systems. Despite the disparities of the process, Carl & Kapp (2004:18) contend that performance management has an important role to play in higher education in that it guides staff towards accomplishing the vision of the institution. Junejo, Umrani & Raza (2010:319) assert that performance management must be on-going and its focus should be on performance tracking and development.

2.17 PERFORMANCE MANAGEMENT AND HUMAN CAPITAL DEVELOPMENT IN HIGHER EDUCATION

Baron (2007:110) states that performance management processes provide an important source of information on human capital development and its contribution to organisations. Lawler (2003:396) contends that it is very difficult to effectively manage human capital development, without a system that measures performance and

performance capabilities. Browell (2000:57) asserts that changes in further and higher education together with concepts such as knowledge management and institutional learning have increased the importance of human capital development because of the perceived link with performance and quality. According to Wan (2007:298), human capital development in the work situation is to develop abilities of the individuals and satisfy the current and future manpower needs of the organisation. Burton (1995:18) states that the strength of an institution of higher education lies in the strength of the academic and support staff it employs. Hitt, Bierman, Shimizu & Kochhar (2001:13) postulate that the human element has grown in importance because knowledge has become a critical ingredient for improving performance and gaining a competitive advantage. Tony (2014:3) contends that universities must attract, develop, motivate and maintain an energetic workforce to support the attainment of their mission and vision with the view to developing an institution's competitive advantage. Kagaari, Munene & Nyati (2010:509) state that human capital development is an essential element for sustainable competitive advantage, and how it is managed within the organisation is extremely important.

2.18 LINKING PERFORMANCE MANAGEMENT SYSTEMS TO HUMAN CAPITAL DEVELOPMENT FOR HIGHER EDUCATION INSTITUTIONS

The United Nations Educational, Scientific and Cultural Organisations (UNESCO) affirm that investment in human capital development has become crucial and requires a new emphasis on staffing policies. If these are well conceived and planned, they constitute a proactive strategy to help ensure the overall quality and relevance to the institution's mission (Kearney, 2004:15). Stiles & Kulvisaechana (2003:2) state that human capital development reflects the view that market value depends less on tangible resources, but rather on intangible ones, particularly human resources. Recruiting and retaining the best employee, however, is only part of the equation. The institution also has to leverage the skills and capabilities of its employees by encouraging individual learning and creating a supportive environment where knowledge can be created, shared and applied. Willie (2014:112) asserts that a

performance management system is a tool used by institutions to manage and monitor performance. The effectiveness of an institution is achieved through improving the performance of administrative and support staff, by continuously developing their capabilities within the educational institution. Delery & Doty (1996:817) state that as a critical component of the overall human resources management architecture, performance management is more likely to be perceived as important when it is part of a strategically integrated system of human capital practice. Jaya (2014:11) postulates that effective educational institutions need to integrate human capital approaches with strategies for accomplishing their missions and that high performing institutions remain open to evaluating their human capital practices in the light of demonstrated success or failures. Armstrong (1994:26) contends that performance management can satisfy a number of fundamental aims of human resources. These aims are to:

- achieve sustained high levels of performance from the organisation's human resources;
- develop people to their full capacity and potential;
- establish an environment in which the latent potential of employees can be realised; and
- reinforce or change the organisation's culture.

Biron, *et al.* (2011:1296) attest that with the growing understanding of the role of human capital development in institutional success, performance management has become increasingly important, as managers are under constant pressure to improve employee performance. Policy directives have exerted pressure on higher education institutions to review their human resources strategies and practices, with the aim of developing and fostering a competent, motivated and capable workforce that could assist in achieving the levels of excellence envisioned by stakeholders. In addition,

Molefe (2012:2) states that the White Paper on Human Resources Management in the South African Public Service (1997) also singles out performance management as an integral part of an effective human resources management and developmental strategy, contributing to every organisation's success. Bourne, Pavlou, Franco-Santos, Lucianetti & Mura (2013:1600) posit that neither human resource nor performance management can succeed alone in capturing the entire picture of how organisation's performance is generated. However, combined they offer a more sophisticated understanding of this process. Furthermore, Hoppas (2014:1) contends that human resources management systems can improve institutional performance by strengthening its human capital and as an institutional mechanism, may assist universities to configure valuable bundles of committed administrative employees, who are equipped with high levels of knowledge, skills and abilities.

2.19 THE IMPORTANCE OF HUMAN CAPITAL DEVELOPMENT IN IMPROVING EMPLOYEE PERFORMANCE

Ratnawat & Jha (2013:6) assert that in order to achieve the full gamut of capabilities and core competencies of employees, employee performance management systems should not only focus narrowly on task performance but should emphasise employee development. Carl & Kapp (2004:19) affirm that performance management systems feeds into the identification of training and development needs, identifies barriers to performance, as well as assist in succession and career planning. Lawler (2003:396) states that every organisation should have a performance management system that is expected to accomplish a number of important objectives with respect to human capital management. These objectives often include motivating performance, helping administrative staff develop their skills, building a performance culture, determining who should be promoted and assisting in implementing the business strategy. Dube & Ngulube (2013:6) attest that failure to invest in people could lead to the loss of critical skills and of the richness of future talent. Ideally, the decision to invest in the institutional talent has to be preceded by a knowledge audit that will map out

knowledge assets at risk, as well as gaps in the depth and breadth of institutional knowledge. Clearly, without this exercise the institution will not have a clear picture of the nature and extent of knowledge threats and gaps. Beattie & Smith (2010:263) quotes the then President of the Institute of Chartered Accountants for England and Wales, who stated that organisations that ignore human capital development will go the way of dinosaurs. It is essential to recognise that investing in human capital development will result in institutional advantage in the modern knowledge economy. Cunningham (2002:89) contends that assisting staff to develop knowledge, skills and competencies improves the human capital of an institution.

Kulvisaechna (2006:722) states that recent evidence reveals that many institutions have not paid sufficient close attention to human capital development, leading to the under-utilisation of talent in the workforce. This builds on research conducted by Nordhaug (2005:124) who called for an empirical investigation on the extent to which an institution embraces the concept of human capital development. The results showed that institutions were sceptical about the concept. Junejo, Umrans & Raza (2010:318) state that the development of human capital can be achieved if the performance management system focuses on improving employee performance by guiding employees during the learning session, by providing special training, giving them proper information about performance management systems and its criteria and a manager who is supportive during the process of improving performance. Research conducted by Adsit, London, Crom & Jones (1994:23) showed that managers who were supportive had higher levels of performance in their departments.

Decramer, *et al.* (2013:356) assert that aligning employees with the institution's larger strategic goals is critical, if institutions hope to manage their human capital effectively and ultimately attain strategic success. Ramsden (1998:362) postulates that the better the staff development and people management, the better the capacity of the institution to adapt to new demands and technologies and to maintain its position in the market.

2.20 THE BENEFITS OF HUMAN CAPITAL DEVELOPMENT IN HIGHER EDUCATION INSTITUTIONS

According to Rompho & Siengthai (2012:483), human capital development is a combination of knowledge, skills, innovativeness and the ability of each employee to meet the task at hand. In addition, human capital development is recognised as the most important component in terms of creating long term competitive advantage and adding to a knowledge-based economy. Harris, McMahan & Wright (2012:409) concur that human capital development is viewed as unit level knowledge, skills and abilities used to produce a given set of outcomes. According to Kearney (2004:9) UNESCO's aim in the field of staff development is to promote co-operation and innovative action, so as to strengthen the quality and relevance of higher education. Partington & Brown (2002:210) postulate that staff development will never be effectively embedded within institutional practice until staff at all levels plays their part in the process. According to Kember & Gow (2002:299), staff development in higher education is an activity promoted by educational units at universities and colleges to foster change, institutional practices and attitudes of staff. Browell (2000:63) affirms that the perceived link between staff development and improved performance and quality has resulted in continuous improvement being seen as crucial to higher education institution success. Quayle & Murphy (2000:183) state that staff development and institutional improvement are linked and that staff development contributes widely to raising standards of achievement and improving the quality of teaching and learning.

Quayle & Murphy (2000:183) outlined the benefits of staff development as being:

- Institutional improvement;
- The motivation of staff;
- The preparation for career development and succession planning;

- More effective in the implementation of change; and
- Prepared to be accountable.

Partington & Brown (2002:210) state that changes in higher education have had an impact on staff development. Naris & Ukpere (2010:11860) state that due to these changes, higher educational institutions have developed staff development programmes for all staff including academic, administrative and support staff because they play crucial roles in assisting students to learn and create an environment that facilitates learning. A staff development policy sets out the universities commitment to the current and future development of staff skills, which will enhance employee performance.

2.21 HUMAN CAPITAL DEVELOPMENT AT INTERNATIONAL HIGHER EDUCATION INSTITUTIONS

The human capital development policies at the Dublin Institute of Technology, the University of Cambridge and the University of Manchester will be analysed.

2.21.1 THE HUMAN CAPITAL DEVELOPMENT POLICY AT DUBLIN INSTITUTE OF TECHNOLOGY

According to the Dublin Human Resources Committee (2011:3-7), the Dublin Institute of Technology values all staff and recognises that their expertise, skills and personal commitment underpin the continuing success of the institute and the accomplishment of strategic goals. The scope of the Dublin Institute of Technology's human capital

development policy is stipulated by the Dublin Human Resources Committee (2011:4) as follows:

- The human capital development policy is a wide policy that applies to all members of staff.
- Human capital development comprises training and learning initiatives aimed at developing an individual's qualification, knowledge and skills base for the performance of duties and for personal growth and development.
- Through performance management and development systems, all staff members have agreed on Personal Development Plans that encompass effective, mandatory and job specific training and development activities.

The principles highlighted by the Dublin Institute of Technology's human capital development policy are to ensure that:

- Human capital development activities contribute to the achievement of the Institute's strategic goals and objectives.
- Performance management development systems is the primary means of identifying and addressing the development needs of all staff.
- All managers recognise the value of staff development and the benefits it brings to the individual and the Institution.
- To ensure that there is an appropriate and meaningful return on investment, monitoring and evaluation of training and development initiatives is undertaken to measure individual and organisational benefits.

The Dublin Institute Technology's performance review process, plays an important part in identifying training and development. It involves twice yearly meetings between individuals and the line managers to discuss and review the post holder's work activities and their personal development, and to plan ahead for the future. The performance management review meetings provide the time and space to identify development needs, plan how this will be addressed and evaluate the effectiveness of development activities undertaken previously.

2.21.2 THE HUMAN CAPITAL DEVELOPMENT POLICY AT THE UNIVERSITY OF CAMBRIDGE

According to the human capital development policy at the University of Cambridge (2014:1-3), the key purpose of staff development is to facilitate personal and professional development enabling individuals and groups to achieve their full potential. Staff development at the University includes any activity which contributes to the enhancement of their knowledge, skills, competence or working practice. Staff development is a key contributor to the success of the individual and ultimately to the success of the University of Cambridge, as a whole. The Heads of the institution are expected to ensure that all staff employed in their institution received appropriate advice and support towards identifying their development needs through the appraisal process, and to ensure that staff engage in appropriate development activities.

2.21.3 THE HUMAN CAPITAL DEVELOPMENT POLICY AT THE UNIVERSITY OF MANCHESTER

The Human Capital Development Policy of the University of Manchester (2005:1-2), recognises that effective staff development is not only vital to meeting future goals and ambitions but also makes an essential contribution to the development of a

responsive, supportive staff and a well-managed institution. In identifying development needs the policy states that the university will adopt a structured approach identifying the development needs of individuals and particular groups. The human capital development policy at the University of Manchester states that individual development needs should be identified and agreed upon:

- The annual Performance and Development Review process supplemented by regular follow-up reviews.
- On-going discussions with staff about work performance and any changes to the work of the job-holder.

In addition, the human capital development policy stipulates that managers at the University of Manchester should develop a means of assessing how effective human capital development has been in improving job performance. This should take place at a post development de-briefing and generally within the Performance and Development Review Process.

2.22 HUMAN CAPITAL DEVELOPMENT POLICY AT SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS

According to Schofield (1991:3), the role played by administrative support staff in higher education institutions in South Africa has changed considerably during the past decade, and increasingly such staff are preparing to adopt a more proactive managerial role. In addition, Schofield (1991:3) states that the increasing administrative burdens on institutions, and more complex legal and technological framework in which they now have to work, means that these matters have to be dealt with by qualified administrative staff in a way which threatens to change the traditional collegial ethos still prized by some institutions. Thus, institutions have to become proactive in developing and improving their staff to ensure institutional efficiency.

2.22.1 THE HUMAN CAPITAL DEVELOPMENT POLICY OF THE UNIVERSITY OF WESTERN CAPE

The Human Capital Development Policy at the University of Western Cape (UWC) is committed to optimizing opportunities to improve new skills, knowledge, behaviour and service at all levels in the workplace. The development of staff is a joint responsibility shared by the individual staff member and the leadership of the institution. Human capital development is designed to assist staff in meeting new demands of higher education in a time of knowledge extension, information sharing and open system thinking. UWC pursues the value of human capital development in contributing to both the efficient and effective operation of the university as well as to the career and personal development goals of administrative staff. The participation in staff development is an opportunity and/or incentive to develop competencies and capabilities relevant to the workplace (2013:6).

The performance development system at UWC assists in the identification of developmental needs of staff and ensuring that these needs are appropriately addressed. Top management is also expected to support the staff development activities by encouraging and enabling the participation of their staff. The responsibility of staff development is a key performance area for all staff in leadership positions.

2.22.2 THE STAFF DEVELOPMENT POLICY AT RHODES UNIVERSITY

Rhodes University policy (2014:2) highlights that higher education is undergoing significant transformation due to global as well as national changes and pressures. In dealing with the main issues confronting the university, all staff need to be dedicated, confident and competent and where relevant, proactive in their fields of knowledge or expertise, the educational process and/or in the management of staff. This is achieved

through providing developmental opportunities for staff and recognising that the capability and commitment of employees at all levels and in all roles, is critical to the institution's efficiency and effectiveness. The policy objectives on human capital development at Rhodes University (2014:3) have four inter-related considerations:

- Human capital development aims to increase individual effectiveness and efficiency by encouraging and supporting staff to achieve individual work and career goals.
- Through enhancing the competence of employees, human capital development enables and assists employees to achieve the aims and objectives of their job, of their departments and therefore, the university.
- Investing in development enhances the commitment of staff.
- The provision of quality staff development opportunities not only helps the university retain staff but is also pivotal in attracting new staff to the institution.

Furthermore, administrative staff needs at Rhodes University (2014:4) are identified:

- From the strategic objectives of the institution;
- In liaison with managers and with reference to the job profile; and

From 2014 onwards, the implementation of the Development Cycle with support staff has members played an important role in identifying individual development needs. This personal development will be collated into attaining plans for each department and division which, in turn was collated into an institutional development plan. In addition, the policy also states that staff development must be linked to career prospects within the university. In the case of administrative staff, the manager needs to guide staff members in exploring future opportunities. The manager is also required

to link the departmental divisional training plan to succession plans for that department.

2.22.3 THE HUMAN CAPITAL DEVELOPMENT POLICY AT NORTH-WEST UNIVERSITY

According to the Staff Development Policy at North-West University (2005:1), opportunities for learning and development will be accessible to all staff members and human capital development programmes will be competency based; that is, focusing on the development of knowledge, skills, attitudes and values that is appropriate for the staff member in a specific position. Moreover, the policy adopted by North-West University (2005:2) outlines the following:

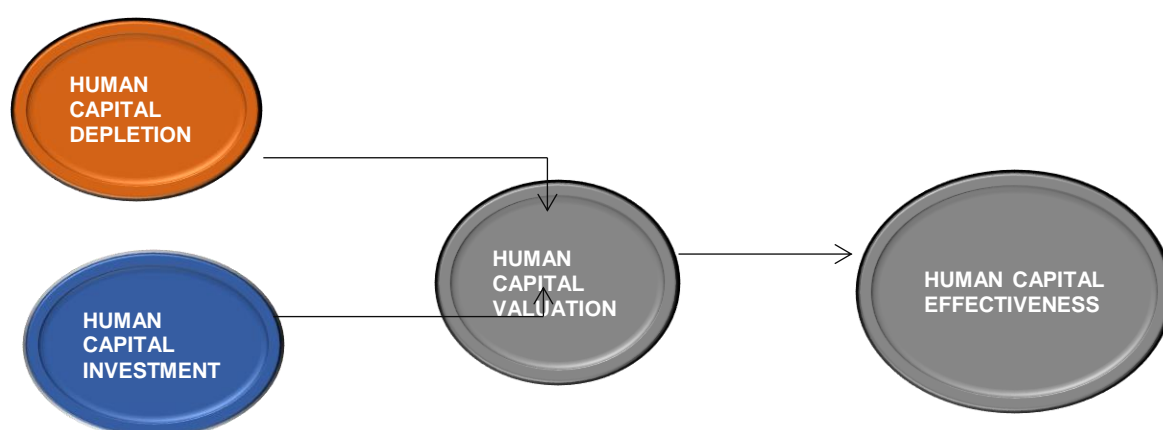
- Human capital development interventions must be planned and executed in a structured way. The line manager in participation with staff members is responsible for the identification of staff development needs.
- Human capital development should follow from the annual formulation of a personal development plan for every staff member in a systematic and integrated manner.
- The personal development plans are determined from the output of the performance management system.
- The outcome of development interventions must add value to the attainment of the goals and objectivity of the university.
- Opportunities for staff development must provide for the promotion of equity goals and succession planning.

Naris & Ukpere (2012:11861) posit that effective staff development should be positioned at the centre of the university function and that it needs to retain connections with the perceptions of university staff. However, staff development programmes will be more successful if they are strategically supported by the university.

2.23 INVESTING IN HUMAN CAPITAL DEVELOPMENT

Banerjee (2013:218) states that organisations must make investments in developing their human capital in order to improve performance. When organisations do not manage their human capital effectively, it can result in labour turnover which results in the depletion of human capital. Bontis & Fritz-enz (2002:227) proposed a model to measure the antecedents and consequents of effective human capital. The general quantitative antecedents of human capital include management's ability to continue to invest in human capital, while defending the organisation from human capital depletion as illustrated in (Figure 2.4) below.

FIGURE 2.4 A CONCEPTUAL MODEL ON HUMAN CAPITAL DEPLETION



Adapted from: Bontis, N. & Fitz-enz, J. (2002:228).

According to the conceptual model (Figure 2.4), human capital investment has a positive effect on human capital management. The training and development depends on how well an organisation provides access to training programmes for its workforce, while the human capital depletion is primarily through turnover where skilled employees leave the organisation as result of poor hiring practices or the lack of training and development. Thus Figure 2.4 is based on the premise that human capital valuation which is based on compensable factors that employees receive, has a positive impact on the employee which in-turn has a positive impact on human capital effectiveness. To avoid human capital depletion and improve performance, Pickett (2005:301) provides the following guidelines that institutions can use to increase the effectiveness of their investment in people and improve overall performance:

- **Leadership practices:** Top management is the foundation for ensuring that human capital is developed, sustained and deployed successfully. Management practices thus lay the foundation for the achievement of higher education institutional goals.
- **Employee engagement:** The most successful institutions are those proactively managing talent retention by creating desirable work environments, including designing jobs purposefully, ensuring that employees' time is well used, recognising and valuing employees and their work and providing opportunities for employee advancement.
- **Learning capacity:** Training and development, and innovation must be valued and supported in order for an institution to have the capacity to respond to changing conditions and to consistently achieve strategic goals.

According to Quayle & Murphy (2000:185), investment in people is seen as a source of stability and competitive advantage in establishing an identity of educational excellence, which encourages line management in educational institutions to develop administrative and support staff at all levels to meet the broad goals, divisional objectives and their individual potential.

2.24 METHODS IN DEVELOPING HUMAN CAPITAL AND IMPROVING PERFORMANCE OF EMPLOYEES

Eseyin, Uchendu & Bright (2014:593) state that the work environment is very dynamic and it is prone to continuous change. Therefore, employees need to be exposed to constant training and it is this constant empowerment that makes them relevant to the work environment. In addition, investment in human capital development is a strategy for achieving greater output thereby improving individuals personal and institutional efficiency and effectiveness, which is the ultimate focus of human capital development. Mahmood & Joma (2015:106) state that the data obtained from performance management systems can alert higher education institutions to deficiencies in the overall level, and focus on employee skills. Schofield (2003:11) postulates that training and development is an important feature in an attempt to increase the effectiveness of staff performance.

2.24.1 IMPLEMENTING TRAINING AND DEVELOPMENT IN HIGHER EDUCATION INSTITUTIONS TO IMPROVE PERFORMANCE

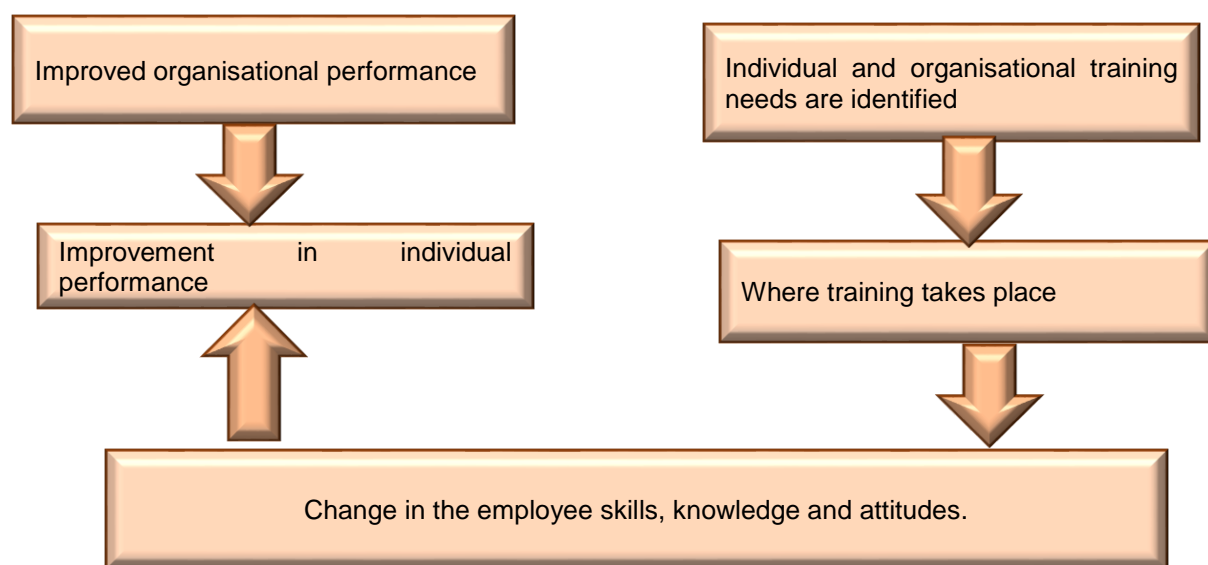
Ubeda-Garcia, Marco-Lajara, Sabater-Sempere & Garcia-Lillo (2013:384) state that training is viewed as an investment in human capital that gives employees unique knowledge, skills and abilities that not only add value to the institution, but also enable

the performance of activities required to achieve its goals and objectives, thus having a positive effect on overall performance. Bontis & Serenko (2007:22) state that effective, appropriate, and successful training experiences serve as an indication that an organisation is voluntarily willing to invest in its human capital in that it builds both employee capabilities and increases the degree of satisfaction. In line with human capital development, the success of an institution depends on the skills and actions of its people and the key determinant will be the way they are trained and developed. (Barton & Delbridge: 2011:469). Rahman & Nas (2013:564), contend that appropriate training and development practices are imperative for success. It is a fact that an organisation is as good as its employees. Mahomood & Joma (2015:98) state that through an effective performance management system, employee skills and competencies as well as needs and inadequacies can be identified and as such, can be used as a basis in designing training and development programmes. Wayne, Liden, Kraimer & Graf (2003:580) state that training provided by the employer is a form of investment that can enhance an institution's human capital. McConnell (2002:6) asserts that training is an important element for an employee's success, and to succeed it must meet both the needs of the employee and the institutional needs. The Dublin Institute of Technology (2013:1) believes that training and development is a continuous process and that there is an expectancy that staff will keep abreast of development within their own area of expertise. McConnell (2002:6) attests that the ultimate mission of the training function is to provide employees with the skill and knowledge required to ensure optimum performance results, develop a cache of employees qualified to meet the organisation's operational needs and objectives, and contribute to positive morale, employee satisfaction and development.

Bouris & Sahinidis (2008:66) proposes that organisations ought to adopt training interventions to bridge the gap between desired and actual performance. Bridging the performance gap involves adopting a particular training intervention aiming at changing specific skills and attitudes of the employee and this becomes clearer by examining Bramley's individual model on training (Figure 2.5) cited by Bouris & Sahinidis (2008:66).

The underlying logic of the individual model of training dictates that the organisation should recognise that if employee performance is not effective then change should be attempted in their knowledge, attitude and skill. Figure 2.5 assumes that employee knowledge, attitude and skill will change by the adoption of a training programme. Bouris & Sahinidis (2008:67) claim that through training, the person's competencies will be reinforced and will enable the employee to execute the tasks assigned effectively and efficiently. Therefore, training is undertaken in an institution to develop human capital by improving employee skills and competencies which will result in the overall enhanced performance of higher education institutions.

FIGURE 2.5: BRAMLEY'S INDIVIDUAL MODEL OF TRAINING

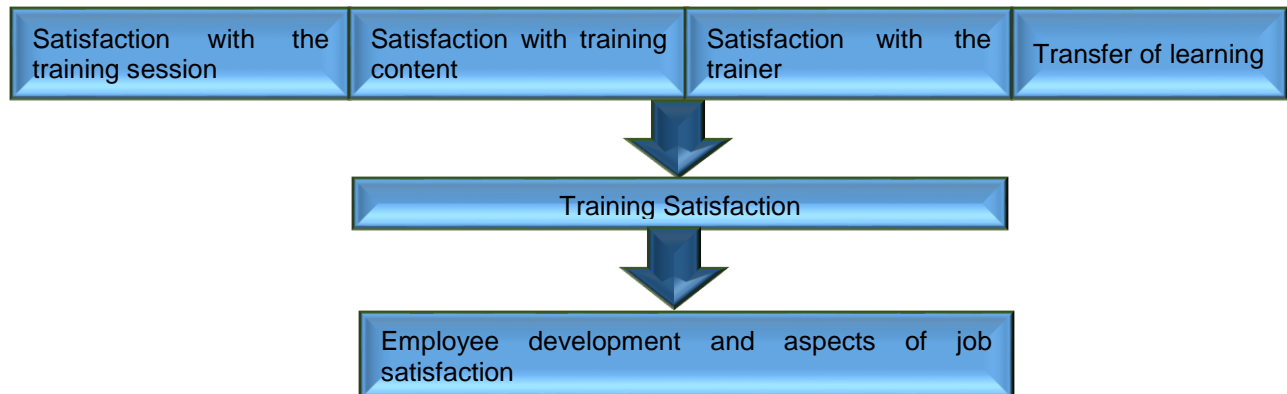


Adapted from: Bouris, J. & Sahinidis, A.G. (2008:66).

Latif (2012:211) states that employee training is not only linked to improved results but is also a powerful factor in shaping employee attitudes. It creates motivation for an increased discretionary behaviour and satisfaction with career development which ultimately leads to increased job satisfaction. Jobs with high scope and potential development lead to enhanced motivation, job satisfaction and performance.

Latif's (2012:212) model on training effectiveness is depicted below as (Figure 2.6).

FIGURE 2.6: MODEL FOR TRAINING EFFECTIVENESS



Adapted from: Latif, K.F. (2012:212).

- **Satisfaction with training session**

Latif (2012:212) states that organisations often fail to communicate what they are trying to accomplish and how training will benefit each employee. Management takes it for granted that employees already know the benefits. This makes the whole learning scheme nebulous. One of the drivers for a successful training programme is the extent to which an activity achieves its desired objectives.

- **Satisfaction with training content**

Latif (2012:212) asserts that since training is being directed towards the enhancement of employee skills base, the challenge lies in the fact that work-related knowledge is quickly outdated.

This calls for sufficient attention to be given when devising the content for the training programmes and incorporating the main knowledge, skills and abilities needed in certain jobs that will result in higher content validity of the training interventions.

- **Satisfaction of the trainer**

Gosh, Satyawadi, Joshi, Ranjan & Singh (2012:198) state that the trainer is one of the most important elements in any training programme and the key attribute of a trainer must be the knowledge he or she possess on the subject of the training programme.

- **Transfer of learning**

According to Pineda-Herrero, Belvis, Moreno, Duran-Bellonch & Ucar (2011:316), the transfer of learning is the application of knowledge, skills and attitudes learned during the training programme to the workplace. The transfer of learning is the objective of the results of the training programme. Hence learning acquired from the training sessions are applied and maintained on the job to increase performance.

- **Employee development and aspects of job satisfaction**

Opportunities for employee development determine personal satisfaction resulting in both an improvement in worker productivity as well as a reduction in the cost of hiring and training workers. Receiving training that enhances skills

and capability is a key component of what potential candidates look for in jobs. (Latif, 2012:212).

2.24.2 THE EFFECTIVENESS OF TRAINING AND DEVELOPMENT AT INSTITUTIONS OF HIGHER EDUCATION

Nickels (2009:1) affirms that employee development can manifest itself in many forms of training, evaluation, educational programmes and feedback and if executed correctly, the effects of training on employee performance can often encourage growth within the worker and the institution itself. The primary goal of any training programme is to transfer to the employee a new set of key skills areas, behaviours or attitudes. Gosh, *et al.* (2012:194) assert that given the enormity of the expenditure involved in training, many institutions are keen on evaluating the effectiveness of their training programmes, which is a measure of the match between the stated goal and their achievements. Naris & Ukpere (2012:11861) state that evaluating training and development activities will give an indication that the training that was provided was beneficial to the educational institution and has led to the performance improvement of those who attended the training. In higher education institutions evaluation should be done to achieve the institutions objectives and it should be linked to the departmental and institutional outcomes. Truitt (2011:1) states that any institution of higher learning whose goal is to survive and prosper in this present day of a diverse and regress economy, has found it imperative to invest in an on-going training and development programme to improve performance as well as to acquire the greatest return on investment of human capital. Browell (2000:63) postulates that higher education institutions should commit themselves to development and training within the context of institutional objectives and make resources available for the personal development plans of individuals.

The Council on Higher Education: Higher Education Quality Committee (2004:5) states that staff competence and effectiveness is a critical area for programme quality.

An institution should provide incentives, resources and development opportunities for staff to meet their professional goals and to contribute to the realisation of the institutions mission. Kearney (2004:25) contends that there has been enormous demand for training which will reinforce the best assets of higher education – its academic and administrative staff. McGuire & Jorgensen (2011:182) state that human resource development activities strive towards activities that advance administrative staff members' competencies so that they have the skills to assume tasks aligned to the strategic direction of the university. The purpose of human resources development is that it provides opportunities for employees to improve their skills and bring increased performance to the workplace. Nassazi (2013:124) contends that training programmes must meet the expectations and needs of administrative and support staff. However, Lee & Paek (2010:4) state that most training programmes that are available to university administrative employees are offered in a format of general knowledge and skill training, which could imply that training programmes are not dealing with improvement through specific job training. Thus, successful training programmes consists of management providing employees with accurate information and communication about the training as well as a programme that ensures that training is relevant to their jobs.

2.25 MENTORING AND COACHING IN HIGHER EDUCATION INSTITUTIONS

According to Ng (2012:25), mentoring and coaching are professional development practice involving one professional helping another in a mutually enriching manner to foster learning and development based on an established relationship premised on mutual trust, respect and openness. Ndebele, van Heerden & Chabaya (2013:124) state that mentoring is a developmental relationship typically occurring between senior and junior individuals in higher learning where the senior and the more experienced provide guidance and support to facilitate growth and development of the protégé or mentee. Mentoring appears as a human resource management practice aimed at favouring the professional and personal development of the protégé in a reciprocal manner.

On the other hand, coaching is viewed as a holistic process intended to build the capacity of people in organisations to work rationally, socially and organisationally. Furthermore, coaching is described as an intervention that is intended to assess and improve individual and team performance, thus enhancing organisational efficiency and effectiveness. (Bond & Seneque 2012:67).

Clutterbuck (2008:8) contends that most coaching applications address performance in some aspect of an individual's work, while mentoring is more often associated with a much broader, holistic development and career progress. Ng (2012:25) concurs that it is possible to position mentoring as a broader concept, with coaching as a tool for improving immediate performance. Abiddin (2006:111) states that coaching can help institutions create an environment of meaningful jobs and a positive atmosphere by eliminating barriers that prevent employees from reaching their full potential. Beltman & Schaebens (2012:34) state that mentoring is a well-established, evidence-based social support strategy that can enhance academic, social, personal and career outcomes of administrative employees. Veale & Wachtel (2006:19) state that mentoring and coaching is considered an important training and development tool and is presented as a formal programme in many organisations. Having a mentor is linked to mobility and career advancement. According to Short (2014:3), workplace mentoring, once seen as an exclusive type of professional development for executives, has come of age and found a niche in mainstream work development strategy. The reason behind this growing popularity of mentoring relates not only to the individualisation of work, but also reflects how people are learning to deal with change in an uncertain workplace.

2.25.1 THE BENEFITS OF MENTORING AND COACHING FOR ADMINISTRATIVE STAFF IN HIGHER EDUCATION INSTITUTIONS

According to Woodd (2000:333), mentoring and coaching in higher and further education concerns the support for staff as they enter a new establishment.

Knippelmeyer & Torracco (2007:3) state that mentoring individuals is extremely underdeveloped in the setting of higher learning and posit that institutions use large sums of money and time in investing with those working within higher education. According to Nankivell & Shoolbred (1997:100), mentoring and coaching can be primarily used for self-development or for staff development within a particular institution or as a tool to improve performance and benefit the institution of higher learning. Benzies, Turnbull & Mowat (2013:2) concur that mentoring and coaching is used for continued development and improvement and outlined the following objectives for staff development. These objective are to:

- Recognise where mentoring and coaching may be beneficially used for staff development.
- Develop and implement important strategy and plans for mentoring and coaching schemes or for the mentoring and coaching of individuals.

Wayne, *et al.* (1999:582) state that mentoring has two key functions: career development support and psycho-social support. In career development support, the mentor provides the protégé with exposure and visibility to others in the organisation, challenging work and protection. As part of the psycho-social support, the mentor befriends the protégé, confirms the protégé's sense of self-worth and counsels the protégé. Ismail & Arokiasamy (2007:143) contend that mentoring programmes are often considered because of the positive effects they can have on those involved. Mentoring is used in higher learning to promote career advancement, personal development, education and improve performance, and the outcomes of the mentoring process are accomplished goals, role fulfilment and self-efficacy. Darwin & Palmer (2009:126) state that both the mentor and the mentee benefit from the mentoring relationship. Mentors describe reaping extrinsic rewards, such as accelerated productivity, greater networking and enhanced professional recognition when mentees perform well.

The benefits of mentoring for employees lie in increased retention and greater institutional commitment while the benefits of mentoring for educational institutions is improved service delivery, increased work income and a greater competitive advantage over other institutions (Darwin & Palmer, 2009:126). Sosik & Godshalk (2004:443) affirm that there are four specific outcomes that result from mentoring. Firstly, desired aspirations reflect the mentee's goal or objective of gaining an advanced managerial position. Secondly, enacted aspirations identify the mentee's behavioural attempts associated with gaining management positions. Both desired and enacted aspirations may be integral to career advancement for progression into higher level managerial positions. Thirdly, career satisfaction describes the mentee's satisfaction with the progress he or she has made towards self-defined career goals and finally, job satisfaction is the degree to which the mentee feels positive about his or her job and improved performance. Ngobeni & Bezuidenhout (2011:9964) assert that mentors and coaches assist the individual to create and negotiate an imaginative and sustainable development plan and receive valuable feedback. In addition, Grima, Paillè, Mejia & Prud'homme (2014:471) state that the mentor facilitates the career start and advancement of the mentee. This support to administrative staff can manifest itself in a number of ways. It can take the form of appointments to enviable posts or introductions to influential people in order to increase the visibility of the mentee at the university. The support can also take the form of setting a challenge that leads the mentee to excel professionally. The mentor can also share ideas, give advice, and suggest avenues of reflection that will enable the mentee to increase efficiency when carrying out work tasks. Poulsen (2006:252) states that mentors are expected to advise the mentee, recommend actions and to help them move ahead in their careers. Forret & Turban (2006:252) outlined the following benefits of mentoring and coaching for administrative mentees:

- Receive outstanding career advice;
- Display enhanced performance;
- Enjoy increased visibility within the institution;

- Gather a better understanding of institutional culture and structure; and
- Experience increased feelings of support and friendship.

According to Knippelmeyer & Torraco (2007:4), higher education institutions may observe benefits from mentoring programmes but the costs associated with mentoring are often less, in comparison with other types of employee development interventions. In addition, higher education institutions may notice increased commitment throughout the institution and decreased turnover among administrative employees, as well as the ability to attract or recruit faculty members who desire this developmental opportunity. Other institutional benefits include more interaction among colleagues, greater communication and increased networking. Research findings by Cureto, Green & Meakin (2010:80) stated that a U.K. University that implemented a mentoring scheme as one of its measures to support employees in achieving its strategic objectives, required the scheme to adapt to the changing environment. The intention of the scheme was to respond to the differing individual needs by offering an opportunity for a holistic, dynamic and medium to long term professional development. Hence, the university offers administrative staff the opportunity to develop their skills and explore career advancement through peer and hierarchical mentoring relationships.

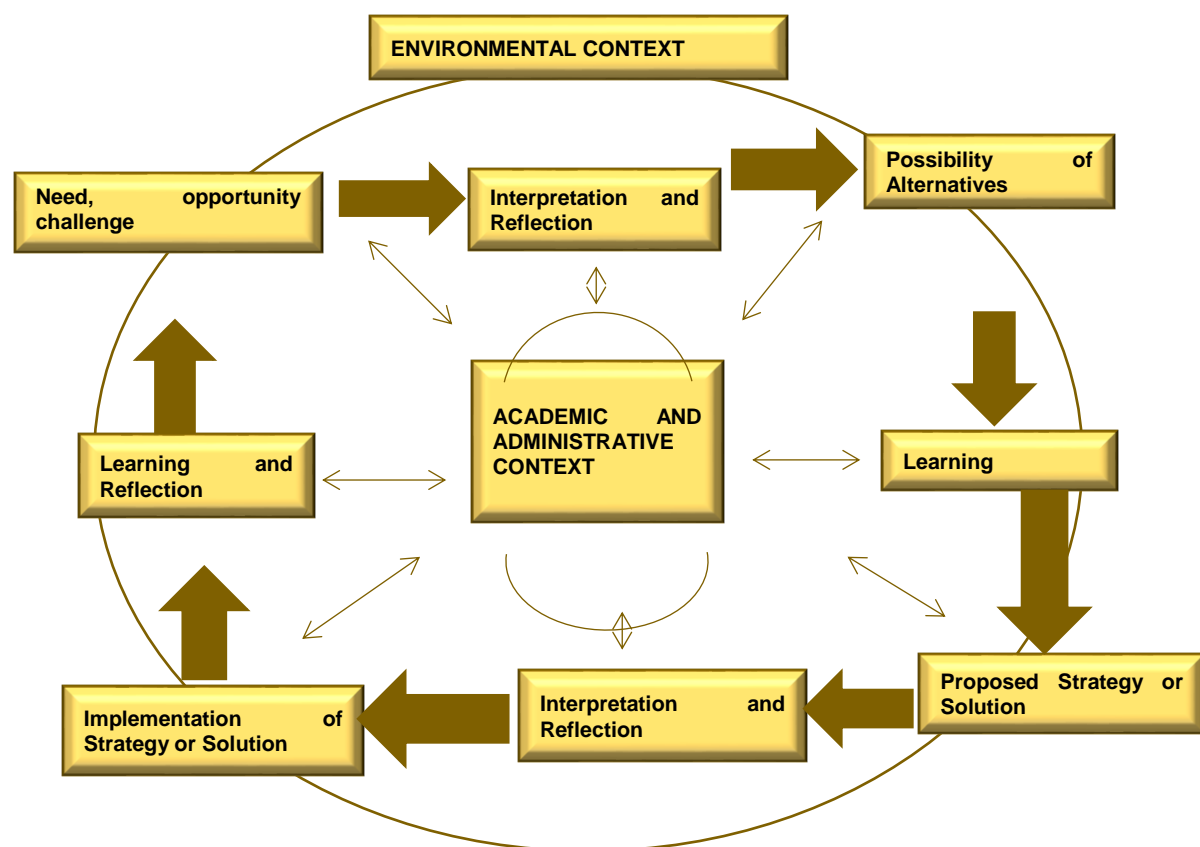
2.25.2 IMPLEMENTING MENTORING IN HIGHER EDUCATION INSTITUTIONS

Knippelmeyer & Torraco (2007:5) proposed a model of mentoring in higher education. This is depicted in (Figure 2.7). The model (Figure 2.7) represents higher education as the setting in which informal learning can be re-conceptualised as mentoring for administrative and junior academic staff. The process begins with a need, opportunity or challenge in which a mentor or protégé can learn, grow, or develop.

Once a mentoring relationship begins, much interpretation and reflection can take place throughout the process because of alternative solutions, strategies and learning that are being postulated.

Throughout the process the mentor and the protégé are simultaneously learning. The final step in the model is learning and reflection which allows for assessing the outcome of the mentoring programme to the mentee.

FIGURE 2.7: PROPOSED MODEL OF MENTORING IN HIGHER EDUCATION

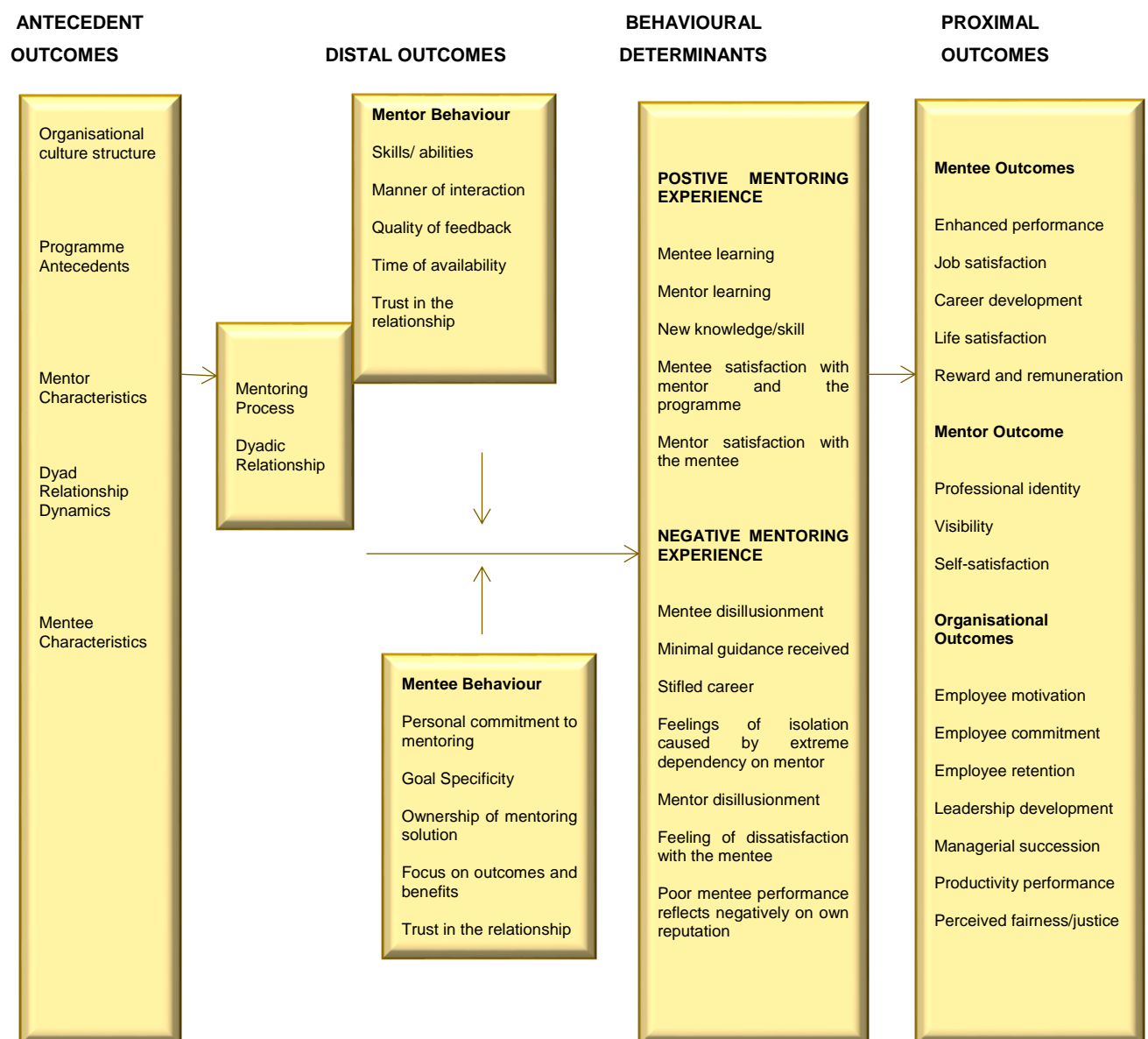


Adapted from: Knippelmeyer, S.A. & Torraco, R.J. (2007:6).

Darwin & Palmer (2009:126) postulate that in order to make mentoring more inclusive and accessible, many higher learning institutions recommend the

establishment of a formal mentoring programme and most of the plans initiated by education use the dyadic model where the mentor is matched to the mentee. In implementing an effective mentoring programme, Hamlin & Sage (2011:758) proposed the conceptual framework model for mentoring effectiveness which is highlighted in (Figure 2.8).

FIGURE 2.8: CONCEPTUAL FRAMEWORK OF FORMAL MENTORING PROCESS AND RELATIONSHIPS



Adapted from: Hamlin, R.G. & Sage, L. (2011:758).

The model (Figure 2.8) describes the framework in terms of antecedents, behavioural determinants, proximal outcomes and distal outcome of formal mentoring.

- **Antecedents:** The antecedents for successful formal mentoring programmes includes a conducive institutional culture and structure characterised by the existence of top level opportunities, a layered hierarchy and cross-functional work teams. In addition, the quality of the mentoring process and the effectiveness of the dyadic relationship must depend on the appropriate selection and matching of participants in the dyads.
- **Behavioural determinants:** The quality and effectiveness of formal mentoring also depends on how the behaviour of the mentor and mentee are respectively perceived and received by the dyadic relationship, and the extent to which it leads to interpersonal perception and complementary interaction or conflict.
- **Proximal outcomes:** The main proximal outcome of positive mentoring for mentees are changed through cognitive, skill-based learning and social networks, which leads to satisfaction with the mentor and the mentoring programme.
- **Distal outcomes:** The distal outcome for mentees can include enhanced performance and job satisfaction, career development and progression and better rewards and remuneration. For mentors they can include enhanced professional identity, visibility and self-satisfaction. For an institution, it can lead to increased employee motivation, commitment, performance and retention.

Gibb (2001:34) states that mentoring and coaching outcomes for staff manifest themselves as changes in skills, knowledge and attitudes. In addition, mentoring can have outcomes related to the learning and development of administrative staff and the development of their careers.

Ekechukwu & Horsfall (2015:44) contend that creating a learning environment to empower and improve the quality of staff is one of the ways to increase quality assurance in education. Hence, mentoring and coaching is one way for higher education institutions to empower and improve the performance of their administrative staff. Once mentoring and coaching occurs and the protégés realise the importance of growth that occurs within such relationships, they can pass on their mentoring knowledge and experience to someone else rising within the institution, resulting in a continual cycle.

2.26 POSITIVE OUTCOMES OF AN EFFECTIVE HUMAN CAPITAL DEVELOPMENT AND PERFORMANCE MANAGEMENT SYSTEM

Whitchurch (2006:169) states that with higher education institutions implementing performance management systems, staff may expect and seek greater career mobility. Moreover, individuals would consider ways to utilize opportunities such as formal training, qualifications, mentoring, secondments and exchanges to fulfil their aspirations and career directions in an increasingly fluid higher education environment. Eyres, Hooker & Pringle (2008:101) state that engaging in workforce development can provide valuable career development as well as reward and recognition opportunities for administrative staff. The recognition of human capital development not only improves performance but also allows for career development and succession planning for administrative staff and employee retention for the institution.

2.26.1 CAREER DEVELOPMENT IN HIGHER EDUCATION INSTITUTIONS

According to Long, Faught & Street (2013:74), many colleges and universities have embraced the belief that the most effective way of operating their institutions is that of a competitive business approach. This commonly accepted rationale of thinking leads to the belief that institutions of higher learning should implement forms of career development opportunities in order to remain competitive. Wan (2007:315) states that opportunities for career growth enables employees to plan for the future and to be better equipped with the right skills to remain competitive. Tinuke (2015:59) affirms that providing employees with internal job opportunities is a means of demonstrating that they can realise their career goals inside rather than outside the institution. The Hanover Research Council – Academy Administrative Practice (2010:3) highlighted that administrative staff in higher education take a low priority than faculty and students, which leads to underfunding and inattention to administrative staff development. Furthermore, many administrative staff in higher education do not have the career drive and fail to seek the kind of advancement and development necessary to prepare them for top positions within the University. Thus, it forces an institution to take stock of its administrative personnel and to devote attention and resources to the career development of its staff, which can both improve the performance and quality of current staff and attract a higher quality of new applicants.

2.26.2 SUCCESSION PLANNING AT HIGHER EDUCATION INSTITUTION

Abdullaln, Samah, Juseff & Isa (2009:129) contend that the key strategy of succession planning is to mould and harness the talent of employees at managerial level to fill in strategic positions. It also lays the foundation of guidance necessary for the accomplishment of tasks and duties for the future. Armstrong & Taylor (2014:353) affirm that by following the evaluation stage, senior managers are able to draw on an additional rating for certain senior staff termed 'potential for the job'.

This gauges potential for the future and helps by feeding into future decisions on promotion and succession planning. The Cornerstone OnDemand report (2010:1) states that to start down the path of a formal succession plan, universities must begin with employee performance management. The report continues by asserting that when universities align their succession goals and needs with performance and learning initiatives, they indirectly discover potential leaders as a result of the process. Without this alignment, formal succession planning is still left to guesswork. Tinuke (2015:60) attests that succession planning is a method that can offer flawless management change across the institution. It entails a strategic, systematic and planned attempt to extend capabilities of prospective managers through anticipated learning incidents like objective rotation and educational training so as to occupy high level positions. Long, *et al.* (2013:77) assert that through proper implementation of a succession plan, institutions of higher learning will be able to push their administrative staff and institutional excellence to new levels. Using this strategic process, colleges and universities will be able to attain a degree of accomplishment that can only be efficiently derived through employee self-motivation and internal support.

Lin & Huang (2006:195) state that the transition of a successful succession plan at higher education institutions is based on three key points. Firstly, it is to have strategic plans that are tied to current performance metrics and goals. Secondly, it is to develop administrative and academic candidates for management roles so that there is always a high standard of capabilities within the institution and thirdly, it is important to have a culture that embraces a common sense of purpose and aspirations in which there is not only no cult of personality but a genuine appreciation of people who put the institutions success ahead of their own recognition. The Cornerstone OnDemand report (2010:2) states that performance management is the foundation upon which succession planning is built and to make succession planning a reality, university management needs a performance system that:

- Provides goals that align the objectives of the institution with the professional goals and needs of the administrative employee;
- Assesses the critical competencies and skills based on pre-defined criteria for staff success. Institutional managers need to address potential competency gaps, performance strengths and opportunities;
- Reviews and measures performance on a continual basis;
- Identifies and tracks high performing administrative employees. Performance management enables institution managers to identify high potential employees with the skills and motivation to transit into management positions; and
- Enables the creation of development plans that engages employee career development.

However, Dube & Ngulube (2013:7) state that universities champion the provision of opportunities for personal as well as professional development. Conversely, the University of South Africa (UNISA) as an higher education institution has progressive and fair opportunities for growth and upward mobility. For instance, there is a deliberate and conscious effort to empower those who were marginalised in the past but despite these provisions it is evident that upward development for staff is still fairly limited.

2.26.3 RETENTION OF HIGH PERFORMING EMPLOYEES IN HIGHER EDUCATION INSTITUTIONS

According to Theron, Barkhuizen & du Plessis (2014:11), the demand for skilled administrative staff in higher education institutions is increasing.

Concurrently, retention problems and intention to leave is exacerbating the problem, and a so called “academic retirement swell” is also evident, leaving higher education institutions with no option but to seriously investigate the retention of administrative staff as a solution to staff attrition.. Selesho & Naile (2014:295) concur that that retention of employees in higher education institutions is a serious concern. The high turnover rate of staff poses a major challenge to these higher education institutions. Netswera, Rankhumise & Mavundla (2005:37) state that there is currently a dilemma in retaining employees in the post-apartheid South African higher education system. This is not only limited to addressing core business activities and required competencies, but includes responsiveness to the national imperatives for redress such as employment equity and skills development initiatives.

According to Erasmus, Grobler & Niekerk (2015:33), the South African Board for People Practice (2012) found in its annual Human Resources survey that a significant 32% of South African organisations do not concern themselves with the retention phenomenon at all. However, 46% of the South African organisations did indicate the matter of talent retention as a major concern. To encourage retention in higher education institutions, Selesho & Naile (2014:297) suggest that the following elements are of importance for effective human resources management:

- Communicating how each employee contributes to the institution’s vision and mission.
- Improving the skills level of the manager who supervises administrative and academic staff.
- Providing management training, including, effective leadership skills, by emphasising employee development.

- Investing and maintaining on-going commitment by paying the best talent what they are worth.

Theron, *et al.* (2014:12) state that if South Africa's higher education institutions want to retain their key and talented staff, then they need to attend to the following retention factors: compensation, emotional recognition, a bonus structure that reflects employee contribution, improved implementation of performance management systems, regular feedback, promotional opportunities, talent management policies, career development, training and mentoring opportunities. Erasmus, *et al.* ((2015:59) concur that the retention toolkit for higher education institutions should include career discussions, setting of personal goals, aligning organisational and personal goals, mentoring, coaching, identification and facilitation of development and training needs and requests for adjusted remuneration. Naris & Ukpere (2010:1079) state that higher education institutions consist of academic, administrative and support staff, and as such, their motivating factors for work might be different. Administrative employees might look for institutions that can offer them flexibility, autonomy, support for personal growth and the ability to learn new things. Knowing why people enter an organisation is important as it will help in developing retention strategies that meet the needs of the organisation and employees.

2.27 CONCLUSION

This chapter provided an account of the dynamics supporting the need for human capital development at the DUT. Literature on human capital development and performance management systems formed the basis of this chapter. Furthermore, the chapter highlighted the process, purpose and management of performance systems, current models of human capital development and performance management systems in higher education institutions.

The perspective of staff development policies at national and international institutes of higher learning and methods of human capital development and its effects on both the institution and the employee underpinned the chapter. Hsu, *et al.* (2007:253) affirm that human capital development aims to provide employees with skills, abilities, knowledge, learning and career development resulting in a workforce which is a source of competitive advantage. Therefore, investing in human capital is imperative for employee performance. Chapter 3 outlines the research methodology and design of the study.

CHAPTER 3

RESEARCH METHODOLOGY AND DESIGN

3.1 INTRODUCTION

The literature review has provided a conceptual framework for the formulation of the exploratory human capital development model for administrative staff at the Durban University of Technology. According to Kumar (2014:7) the function of research is to provide and find answers to research questions. Welman & Kruger (2002:2) state that research is a process in which scientific methods are used to expand knowledge in a particular field of study. Kumar (2014:7) contends that when you are undertaking a research study to find answers to questions, you are implying that the process being applied:

- Is being undertaken within a framework of a set of philosophies.
- Uses procedures, methods and techniques that have been tested for their validity and reliability.
- Is designed to be unbiased and objective.

This chapter outlines the objectives of the study and provides an overview of the rationale for the choice of design that tests the acceptability of the exploratory human capital development model. The methods used in administering the data collection instrument and methods used to collect and analyse the data are also presented. This chapter also shows the need for and how ethical considerations were maintained in the study.

3.2 THE RESEARCH METHODOLOGY AND DESIGN

Creswell (2009:3) states that qualitative, quantitative and mixed methods are the three types of research designs. According to Creswell, Ebersöhn, Eloff, Ferreira, Ivankova, Jansen, Nieuwenhuis, Pietersen & Clark (2016:309), qualitative research is an inquiry process of understanding where the researcher develops complex, holistic picture, analyses words, reports detailed views of participants, and conducts the study in a natural setting. Silverman (2001:12) affirms that the features of quantitative research are hard, fixed, objective, value-free, survey, hypothesis testing and abstract. Creswell, *et al.* (2016:307) state that quantitative research tests the theories about reality, looks for probable cause and effect, and uses quantitative measures to gather data to test hypotheses or answer research questions. Kumar (2014:21) posits that the main focus of qualitative research is to understand, explain, explore, discover and clarify situations, feelings and perceptions, attitudes, values, benefits and experiences of a group of people. The study design is often based on deductive rather than inductive logic, and is flexible and emergent in nature, and is often non-linear and non-sequential in their operation.

The chosen research approach for this study, which aims to test the tenability of the exploratory human capital development model, (Figure 4.1) was the quantitative approach. The available literature indicated that very little was known of the human capital development at the DUT, a higher education institution. Bless & Higson-Smith (1995:42) emphasises that exploratory research is necessary to gain insight into a situation, phenomenon, community or person. Bless & Higson-Smith (1995:42) further attest that the need for an exploratory study could arise out of the lack of basic information on an area of interest. Hence, a quantitative research design incorporating an exploratory paradigm that examines and investigates the available literature was adopted in this research.

3.3 RESEARCH METHODS

Cooper & Schindler (2006:198) postulate that quantitative research is often used for testing theory and focuses on describing, explaining and predicting data with the use of statistical and mathematical methods. Brynard, Hanekom & Brynard (2015:39) affirm that quantitative research requires methods such as experiments and surveys to describe and explain the phenomena and the methods could include techniques such as observation, preliminary investigations, quantitative analysis and questionnaires. Kumar (2014:21) states that quantitative research study design is more structured, rigid, fixed and pre-determined to ensure the validity and reliability of the information and its classification. The purpose of this study was to develop an exploratory human capital development model that could be tested statistically for its acceptability, by means of various hypotheses. The research design that was used to test the tenability of the proposed exploratory human capital development model incorporated numerical and statistical data. Hence, the research design employed for this study was the quantitative paradigm.

3.4 TARGET POPULATION

Welman & Kruger (2002:119) assert that a target population is the population to which the researcher ideally would like to generalise their results. In this study, the target population was the total number of administrative staff at the Durban University of Technology. The population for this study was obtained from a source list which was obtainable from the Human Resources Department at the University. The source list indicated that there are 753 administrative employees employed at the DUT. Thus, the total of 753 formed the target population in this study.

3.5 SAMPLING TECHNIQUE

According to Kumar (2014:229), sampling is a process of selecting a few (a sample) from a larger group (sampling population) as the basis for estimating or predicting the prevalence of an unknown piece of information, situation or outcome regarding the population. Thus, a sample is a subgroup of the population. Maree (2003:36) states that sampling is a common practice and all methods of sampling can be classified under two types: probability and non-probability sampling techniques.

3.5.1 PROBABILITY SAMPLING TECHNIQUES

Babbie (2005:196), states that in probability sampling, every element has an equal chance of being selected. Welman & Kruger (2002:47) affirm that probability sampling determines the probability that any element or member of the population will be included in the sample. According to Harris (1995:219) simple random sampling, stratified random sampling, systematic sampling and cluster sampling are some of the different probability sampling techniques.

McBurney (1994:206) attests that a simple random sampling is used when we believe that the population is relatively homogenous with respect to the questions of interest. McBurney (1994:206) states that in simple random sampling every member of the population has an equal and independent chance of being selected in a single sample. Maree (2003:36) purports that in stratified sampling, the population is firstly divided into homogenous groups called strata and from each stratum, a simple random sampling is drawn. Steyn, Smith, Du Toit & Strasheim (1994:22) state that systematic sampling involves selecting every n^{th} element to make up the sampling frame. Harris (1995:225) postulates that cluster sampling is a procedure in which individuals or other elements in the population are not sampled independently but

rather in cluster groups. Within each cluster, all or almost all of the elements or people serve in the sample. Kumar (2014:47) states that the advantage of probability sampling is that it indicates the probability with which the sample results deviate in differing degrees from the corresponding population values.

3.5.2 NON-PROBABILITY SAMPLING

Willemse (2004:10) states that any sampling technique in which the selection of the sample items is not determined by chance, but rather by personal convenience, expert judgement, or any type of conscious researcher selection, is called non-probability sampling. According to Harris (1995:224) convenience sampling, judgemental sampling and quota sampling are some of the non-probability sampling techniques. Maree (2003:39) attests that convenience sampling involves selecting a sample primarily because it is accessible and a representation of the population of interest. Willemse (2004:10) asserts that judgemental sampling consists of items deliberately chosen from the population on the basis of the experience and judgement of an expert in the field. Harris (1995:224) states that quota sampling involves stratifying on a large number of demographic variables to end up with target numbers of respondents from very precisely specified subgroups.

3.5.3 SELECTION OF THE SAMPLE

According to Brynard, *et al.* (2015:56), sampling is a technique employed to select a small group with a view to determine the characteristics of the population. Melville & Goddard (1996:28) state that a sample is aimed at understanding the population from which it is drawn, and exploring some facet of the target population. The method used to determine the sample for this empirical study was selected from a table for sample selection.

Boyd (2006:30) explains that when the target population is 753, the recommended sample size at a confidence level of 95% with a 5% margin of error is 254. Hence, a questionnaire was posted to 254 randomly selected respondents from the target population of 753. However, only 176 out of the 254 respondents returned the questionnaire. Of the 176 returned questionnaires, 3 questionnaires were discarded as the respondents did not answer the majority of the questions. The response rate for this study was therefore 68.1% (173 out of 254).

3.6 DATA COLLECTION METHODS

According to Walker (2007:122) data collection is the process of gathering and measuring information on variables of interest in an established and systematic manner. Kumar (2014:173) states that while methods vary by discipline, the emphasis on ensuring accurate and honest collection remains the same. There are three methods of data collection: the personal method, the telephone interview and the mail survey. According to Thakur (2005:201), the telephone interview involves trained interviewers telephoning people to collect questionnaire data. Sharma (1995:137) contends that the personal interview method is a face-to-face method of gathering information from respondents. Thakur (2005:201) affirms that personal interview is a good approach in ensuring a response rate and trained interviewers gather better quality data. The mail survey is the most common method of collecting data. Saunders, Lewis & Thornhill (2007:132) state that the mail survey is a relatively inexpensive method of collecting data and large number of questionnaires can be distributed over a short period of time. Thus, the mail survey method was the chosen strategy in this study. Kumar (2014:181) purports that the mail questionnaire survey is less expensive, offers greater anonymity and can be used to cover a wide geographical area. Willemse (2009:15) further suggests that respondents can remain anonymous and will be more open and honest in their responses. However, the key disadvantage of the mail questionnaire survey is the low response rate.

3.6.1 PRIMARY DATA

According to Bless & Higson-Smith (1995:99), primary data is when researchers collect their own data for the particular purpose of their research. Primary data is collected when the researcher is involved in empirical research or field work. Primary data in a structured form was collected from administrative employees at the Durban University of Technology in KwaZulu-Natal. A self-administered closed-ended questionnaire was used to collect data from the sample of 254 administrative staff selected from the source list obtained from the DUT.

3.6.2 SECONDARY DATA

Welman & Kruger (2002:142) state that secondary data is information collected by individuals or agencies and institutions other than the researcher. According to Peck, Olsen & Devore (2005:22), secondary data are sources of information that has been collected and compiled for a particular purpose. Secondary data was sourced from the human resources department and the performance management policy and its implementation at DUT. In addition, a comprehensive review of internet articles, journal articles, textbooks, dissertations, reports and government policies was undertaken. The secondary data assisted the researcher to develop the exploratory human capital development model aligned to performance management systems and underpinned the theoretical framework for this study.

3.7 MEASURING INSTRUMENT

According to Brynard, *et al.* (2015:48), a measuring instrument should be applied to measure the reliability of the method of data collection. The measuring instrument

used in the study was by means of a questionnaire. Bourque & Fielder (1995:1) state that mailed questionnaires are frequently used in research. A pre-coded questionnaire was used to collect data. In the current study, dichotomous responses were needed to determine gender, awareness of the process, method of improvement and action plans in practice. Maree (2003:16) emphasises that dichotomous questions are highly structured and requires yes or no responses. However, the majority of the questions in this study were based on the five point Likert scale. Cohen, Manion & Morrison (2003:253) maintains that the Likert scale allows for objective responses. The measuring instrument in this study included the pertinent questions related to the topic, the problem statement and the objectives.

3.7.1 ADVANTAGES OF THE QUESTIONNAIRE APPROACH

Willemse (2004:12) attests that a questionnaire can be divided into three parts: the administrative part, classification part, and the subject matter of inquiry. Willemse (2004:12) further states that for a questionnaire to be effective it needs both a logical structure and well-thought-out questions. The structure of a questionnaire should ensure that there is a flow from question to question. Cohen, *et al.* (2003:257) concur that the order and layout of the questionnaire sets the tone for empirical research. Furthermore, Bourque and Fielder (1995:17) state that the questionnaire must be short and all information pertaining to the study should be included in the questionnaire. All these factors were considered in developing the closed-ended structured questionnaire for this study. Maree (2003:108) states that the characteristics of any standardised measuring instrument must be reliable, valid, objective and feasible.

3.7.2 DATA COLLECTION PROCEDURE

According to Maree (2003:43), personal interviews, mail, telephone, group and electronic mail methods can be used to collect data.

In this study, a structured closed-ended questionnaire (Annexure C) was used to collect primary data. This study involved using a mail survey with a self-addressed envelope which was sent to 254 respondents that made up the sample frame of this study.

3.7.3 ADMINISTRATION OF THE QUESTIONNAIRE

Grubrium & Holstein (1997:56) state that it is complex to research institutions as authorisation is necessary. In light of this, approval to conduct the study from the Durban University of Technology (Annexure A) was obtained. The letter of approval was attached to each questionnaire. Permission to conduct the study and administer the questionnaire (Annexure A), the covering letter (Annexure B) and the questionnaire (Annexure C) were mailed to 254 sample respondents selected from the source list. 176 out of the 254 sample respondents returned the questionnaire. However, upon scrutiny it was discovered that three respondents did not answer the majority of questions. These questionnaires were discarded completely. From the remaining 173 questionnaires, some of the respondents left one or two questions blank. Sekaran (2003:303) refers to this as item non-response, and these blank responses were left out of the statistical analysis, which varied for each question. Hence, this represented an average response rate of 68.1%.

3.8 VALIDITY AND RELIABILITY OF THE MEASURING INSTRUMENT

Silverman (2013:285) states that validity is the credibility of our interpretation. Vital & Jansen (2003:32) affirm that validity is an attempt to determine whether the meaning and interpretation of an event is sound or whether a particular measure is an accurate reflection. Leedy (1997:32) attests that validity is concerned with the soundness and effectiveness of the measuring instrument.

According to Aczel & Sounderpandian (2006:219), the extent to which results are consistent over time and an accurate representation of the total population under the study is referred to as reliability. Golafshani (2003:6) states that the research instrument is considered reliable if the results of a study can be reproduced under a similar methodology.

Silverman (2013:284) states that reliability aims to show that the empirical investigation can be relied upon and provide the same consistent results if the questionnaire was to be administered repeatedly under similar conditions by different observers or by the same observer on different occasions. According to Cooper & Schindler (2006:319) reliability of a measuring instrument can be estimated in one of four ways. According to Leedy (1997:34), the test-retest method compares the results of two administrations of the same measuring instrument separated by some time interval. Kumar (2014:217) states that a test-retest ratio of 1 or a test-retest difference of 0 shows 100% reliability. According to Bless & Higson-Smith (1995:132), the parallel forms reliability is similar to test-retest reliability but tries to address the problems of reactivity by changing the original test slightly on the second testing. Moreover, the difficulty with parallel forms reliability is knowing whether or not the versions of the instrument is in fact equivalent. On split half reliability, Bless & Higson-Smith (1995:133) state that this method involves splitting the test into two halves and finding the extent of correspondence or reliability between the halves. According to Creswell, *et al.* (2016:239), internal consistency is when a number of items are formulated to measure a certain construct. There should be a high degree of similarity among them since they are supposed to measure one common construct. A measure of this degree of similarity is an indication of the internal consistency of the instrument. There are several types of validity. There are four most common types of validity. Leedy (1997:33) state that face validity relies on the subjective judgement of the researcher. It asks two questions: (a). Is the instrument measuring what it is supposed to measure? (b). Is the sample being measured a representative of the behaviour or trait being measured? Creswell, *et al.* (2016:240) state that content validity is the extent to which the instrument covers the complete content of a particular construct that it set out to measure.

Kumar (2014:215) affirms that construct validity is an indication of the quality of a research instrument to measure what it is supposed to measure. Kumar (2014:215) further states that construct validity is determined by ascertaining the contribution of each construct to the total variance observed in a phenomenon. The greater the variance attributed to the construct, the higher the validity of the instrument. Leedy (1993:41) contends that that criterion validity involves multiple measurements and is established by comparing scores on an instrument with an external criterion known or believed to measure the concept, trait or behaviour under study.

Brynard, *et al.* (2015:46) highlights the following factors that threaten the validity of a measuring instrument (questionnaires) and state that researchers should take cognizance of these factors. These factors are as follows:

- If the instrument is not reliable, then it is not valid.
- Bias and distortion may invalidate the data obtained by an interview.
- Rationalisation may lead to distortion in the mind of the interviewee.
- Fear to commit themselves to telling the truth.
- Socially desirable responses – respondents answer in the manner they perceive or think is expected as desirable;
- Politically correct responses.
- Some respondents may tend to agree with all questions.

Cohen, *et al.* (2003:115) state that an appropriate sample should be used to ensure validity. In this study, the sample was determined scientifically from a table of sample selection developed by Sekaran (1992:253) & Byod (2006:116). Cohen, *et al.* (2003:116) further affirm that steps should be taken to avoid the non-return of questionnaires. Hence, reminders were sent to the selected sample respondents.

3.9 PILOT STUDY

Bless & Higson- Smith (1995:50) state that the pilot study involves testing the actual questionnaire on a small sample taken from the population. The aim is to allow the researcher to identify any difficulties with the measuring instrument. According to Creswell, *et al.* (2016:239), the coefficient that is used to measure the internal reliability of an instrument is called Cronbach's Coefficient-Alpha and is based on the inter-item correlation. Leedy (1997:35) attests that Cronbach's Coefficient-Alpha, a statistical procedure with relatively little error involves correlating every test item with each other. A score over 0.70 is acceptable, but the higher the score the better the evidence that the instrument is measuring the similar trait. Bless & Higson-Smith (1995:52) argues that it is necessary to investigate the accuracy and reliability of a measuring instrument. Hence, the questionnaire was piloted with a homogenous group of administrative employees that did not make up the sample. The pilot test was conducted with ten randomly selected administrative staff. Administering the questionnaire with a group of administrative employees who did not make up the sample can assist the researcher to pre-test and modify the measuring instrument. The feedback obtained from the pilot study was used to amend the questionnaire so that ambiguity was eliminated and the questionnaire was clearer to the respondents. The service of a statistician was used to test the consistency of the questionnaire. The statistician administered the Cronbach's Coefficient-Alpha test on ten questionnaires and the results are in Table 3.1 below.

TABLE 3.1 CRONBACH'S COEFFICIENT-ALPHA FOR THE PILOT TEST

Question	Names of Section	No of Items	Cronbach's Alpha
5	Performance management and human capital development of administrative staff at DUT	6	0.514
6	Performance management assistance towards human capital development	6	0.518
7	Training and development in relation to human capital development	9	0.722
8	Coaching and mentoring in relation to career development aligned to human capital development	9	0.795
9	Feedback and its relation to performance management	5	0.634
10	Management commitment towards employee development	6	0.644
11	Human capital development and employee retention	5	0.856
12	Goals setting aligned to performance management	3	0.559

Table 3.1 shows the Cronbach's Coefficient-Alpha for the eight questions related to the variables that make up the human capital development model. Table 3.1 reflects Cronbach's alpha for questions 5, 6 and 12 to be 0.514, 0.518 and 0.559 respectively which is slightly below the norm of 0.600 (Introduction to SAS. UCLA: Academic Technology Service, 2012). However, these values will correct itself with a larger sample size. A reliability of 0.600 or higher is considered as acceptable for a newly developed construct and this was reflected in the overall values which were above the norm of 0.600. The pilot study allowed the researcher to modify questions that seemed ambiguous or confusing. The statistician suggested that questionnaire be modified by rephrasing the statements in a positive manner as some of the sections that were omitted were problematic mainly due to manner of the phrasing of the statements.

3.10 HYPOTHESES FORMULATION

According to Creswell, *et al.* (2016:225), hypothesis testing is a process that starts with the researcher having certain ideas or beliefs about the properties of some of the study variables in the population. These ideas and beliefs are then tested for their credibility based on data from the sample. Kumar (2014:99) states that the hypotheses bring clarity, specificity and focus to a research problem. Kumar (2014:100) further identifies the following characteristics that a hypothesis should have:

- It is a tentative proposition;
- Its validity is unknown; and
- In most cases it specifies a relationship between two or more variables.

In addition, Bless & Higson-Smith (1995:38) provide the following characteristics of usable hypotheses:

- A hypothesis should be conceptually clear.

All variables identified must be clearly described using operational definitions.

- A hypothesis should have empirical referents.

This property is an essential feature of a scientific approach to a problem. It is fulfilled as soon as the operational definition has been found for all the concepts appearing in the statement of the hypothesis.

- A hypothesis should be specific.

This property reflects that the range of the problem must be narrow enough to allow a precise well-delimited investigation.

- A hypothesis must be testable with available techniques.

The operational definitions should indicate clearly the methods of measurements available.

Thus, Cohen, *et al.* (2003:15) state that a good hypothesis must have the character of a logical relationship. Willemse (2009:199) argues that the hypothesis is used to statistically test for significance between two variables, the independent variable and the dependent variable, to draw conclusions. Brynard, *et al.* (2015:24) affirm that a dependent variable is the factor which is observed and measured to determine the effects it has on an independent variable. In addition, Brynard, *et al.* (2014:24) contend that the independent variable is the factor which is deliberately varied and manipulated in order to determine its relationship with the dependent variable. Davies (2007:249) asserts that it is important to use robust parametric testing to determine if relationships are significant. The independent variable in this study is the performance management and human capital development (x) and the components and dimensions which contribute to the model were the dependent variable (y). A further discussion on the hypotheses formulated in this study is conducted under the analysis of results and discussion and findings.

3.11 ELIMINATION OF BIAS

Resnik (2007:27) states that bias is a form of systematic error that can affect scientific investigations and distorts the measurement process. Fink (1995:56) affirms that to minimise response bias, it is necessary to keep responses confidential and anonymous. Kumar (2014:286) concurs that it is unethical to identify a respondent and the information provided by them. Thus, the questionnaire was mailed so that respondents could remain anonymous and would be more open and honest in their opinions. In order to eliminate bias, the covering letter assured respondents of total anonymity and confidentiality of their responses.

4.12 ETHICAL CONSIDERATION

According to Creswell, *et al.* (2016:44), an essential ethical aspect is the protection of participants' identities. Babbie, Mouton & Prozeskey (2002:12) identified the following important ethical issues that should be considered during any research. These include: Informed consent, avoidance of harm, violation of privacy, anonymity and confidentiality, deceiving respondents or concealing of information and debriefing respondents. In light of this, the researcher guaranteed respondents that the data collection in this study was only to be used for statistical purposes and the names of the individuals will not be mentioned in the reporting of the results. The completed questionnaires will be kept safely and discarded after a period of five years. Furthermore, anonymity and confidentiality was assured regarding the responses of the sample respondents. This was also reinforced in the covering letter (Annexure A) which was attached to the questionnaire (Annexure C).

3.13 DATA ANALYSIS

Peck, Olsen & Devore (2005:113) state that the analysis of data is a process of inspecting, cleaning, transforming and modelling data with the goal of highlighting useful information, suggesting conclusions and supporting decision making. The quantitative paradigm was used in this study. In the quantitative paradigm, Sekaran (2003:301) contends that effectiveness of data depends on reliability and validity. Sekaran (2003:301) further states that appropriate statistical manipulations are used to test the hypotheses and it is then necessary to interpret the results and discuss the findings. The responses to the questionnaire were captured to form a data set. Thereafter, the questionnaire was analysed using the Statistical Package for Social Sciences Software (SPSS) version 24 for Windows was used to statistically test the hypotheses. In addition, the SPSS version 24 for Windows helped to breakdown the raw data that was collected into simpler quantitative and tabular forms for easy understanding and assimilation.

Burns & Bush (2002:552) affirm that statistical analyses are the principal tools for extracting, highlighting and organising information for developing theories, testing hypotheses and drawing conclusions from current investigations. Kumar (2014:329) concurs that statistics help to make sense of data, read the data, explore the relationships and interdependence between variables, ascertain the magnitude of an existing relationship and place confidence in the findings.

According to Maree (2003:90), statistical techniques can be classified into two broad headings, descriptive statistics and inferential statistics. Huysamen (1998:4) states that descriptive statistics is concerned with the description and/or summarisation of the data obtained for a group of individuals. The purpose of descriptive statistics is to reduce large amounts of data physically to facilitate the drawing of conclusions about them. Creswell, *et al.* (2016:204) affirm that descriptive statistics uses two ways of describing data: graphical and numerical. According to Maree (2003:90), inferential statistics is used to make robust statistical tests to produce meaningful values about the hypotheses tested. Creswell, *et al.* (2016:220) state that inferential statistics uses its findings from the sample data to generalise or draw conclusions about the population. Angrist, Imbens & Rubin (2006:149) state that it is more important to determine the casual effect rather than mere associations between variables. This study determined, *inter alia*, the casual effect of advocacy, employee development and other related elements of human capital development and performance management against the exploratory human capital development model variables. Kumar (2014:368) asserts that the relationship between two variables, known as correlation, is best understood graphically. Stephens (2004:136) postulated that correlation and regression analyses are two techniques that enable the researcher to determine the connection between the actual dimensions of two or more variables. Thus, the quantitative paradigm identifies the main variables for cross-tabulation. In this study, Factor Analysis was conducted to test the validity of the measuring instrument, Correlation Analysis was conducted to determine the relationship between the variables of the exploratory human capital development model and Pearson's Chi-Squared test was conducted to test the hypotheses of the study.

3.14 CONCLUSION

This chapter provided an explanation of the quantitative research methodology that was adopted in this empirical study. The target population, sampling technique, reliability, ethical considerations, eliminating of biases and data collection methods were discussed. The next chapter illustrates development of an exploratory human capital development model which is aligned to performance management for administrative employees at the DUT (Figure 4.1).

CHAPTER 4
FORMULATION OF THE EXPLORATORY HUMAN CAPITAL DEVELOPMENT
MODEL ALIGNED TO PERFORMANCE MANAGEMENT SYSTEMS FOR
ADMINISTRATIVE EMPLOYEES AT THE DURBAN UNIVERSITY OF
TECHNOLOGY

4.1 INTRODUCTION

A review of the literature indicated that there are currently no models on human capital development for the Durban University of Technology in KwaZulu-Natal. Thus, this chapter proposes an exploratory human capital development model that is aligned to performance management systems which is pivotal to this study.

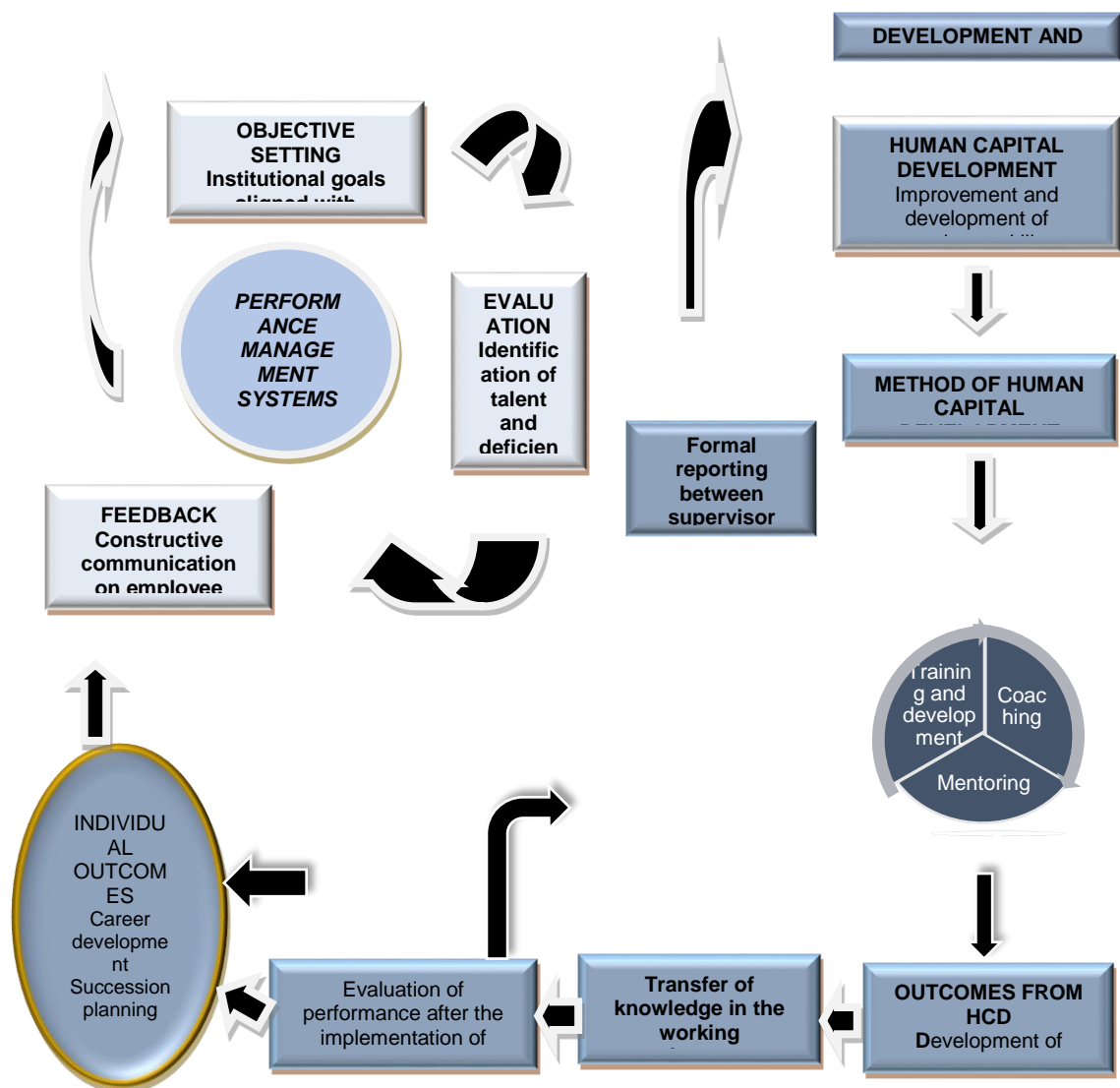
The exploratory human capital model which is aligned to a performance management system is initiated by performance management which is a cyclical process that comprises of three step: setting of objectives, evaluation and feedback. Based on the outcome of the performance management process, the institution would be able to identify under-performers and high-level performers. The results that are obtained would be used to provide different human capital development methods like: training and development and mentoring and coaching. Training is expected to improve skills while development, mentoring and coaching is to develop current and future skills which will assist the employee in career development and growth within the institution. At each stage, feedback is necessary to determine the effectiveness of each phase of the process. With job-related training and development and assistance from mentors and coaches, staff competencies are developed and improved resulting in learning taking place. However, if feedback after the transfer of knowledge that was learnt does not improve the employee's performance, the supervisor would continue to use human capital development methods to improve staff performance. Conversely, positive feedback would result in improved performance.

For employees, improved performance can lead to succession planning and career growth and for the institution results in retention of skilled employees and the enhancement of institutional effectiveness. The final stage of the exploratory model is that institutions need to regularly and systematically audit and evaluate and continually improve performance by developing the skills, abilities and knowledge of the institution's human capital.

Thus, the human capital exploratory model (Figure 4.1) is a key to addressing performance deficiencies as well as developing the talents arising from superior performance. The human capital development model which is aligned to performance management systems is presented in this chapter.

4.2 OVERVIEW OF THE HUMAN CAPITAL DEVELOPMENT MODEL ALIGNED TO PERFORMANCE MANAGEMENT SYSTEMS

Mankin (2012:335) attests that performance management is a means for individuals to perform well within an agreed framework of planned goals, standards and competencies required. The aim is to develop the capacity of human capital to meet and exceed expectations and to achieve their full potential to the benefit of themselves and the organisation. Below is the human capital development conceptual framework aligned to performance management systems that can be implemented in developing and improving the performance of administrative employees at the Durban University of Technology. The model is based on the premise that by developing employee skills, abilities and knowledge it would lead to improved performance.



4.2.1 SETTING OF GOALS AND CLARIFYING EXPECTATIONS

The initial step of the proposed diagram is the setting of goals and clarifying expectations. According to Crawshaw, Buhwar & Davis (2014:235), performance management systems are the primary vehicle through which organisations (1) assign work (2) set goals (3) determine standards (4) evaluate performance and distribute reward or punishment. Mirsepasi, Fafhihi & Babaei (2013:28) state that if performance management is to be effective at staff level, detailed explanations of the duties expected of staff is essential. Evaluation of staff performance is the main output of performance management. William (2003:13) states that the purpose of implementing a performance management system is to determine the performance abilities and skills of the employee in achieving the goals and objectives. Bussin (2013:12) asserts that performance must be aligned with the strategic goals of the organisation. Goals should evolve from the mission and vision of the educational institution and it should be linked to the specific desired outcomes which becomes the requisite performance standards. Martin & Whiting (2013:135) concur that setting objectives is one way in which current expectations of employees can be made clear and allows the focus of an individual's work to be integrated and aligned with the overall institutional goal. Seldon & Sowa (2011:261) affirm that a comprehensive performance management system should create greater transparency to employees about what management expects from employees and how their performance directly contributes to the institution. Decramer *et al.* (2013:356) state that line managers' discussion of objectives and clarification of employee performance duties with staff is part of the planning or goal-setting phase of the employee performance system. In addition, Swanepoel, Erasmus, Schenk & Tshilongamulenzhe (2014:430) state that the goals must be specific, measurable, achievable, relevant and traceable and the performance goals and the objectives set should allow both the employee and the line manager to constantly monitor progress made during the performance cycle.

Wilkinson, Bacon, Redman & Snell (2013:201) state that information and clarity of expectations will ensure employees realise their full extent of their supervisors performance expectations. Therefore, line managers of administrative staff at the Durban University of Technology should jointly agree on the goals and outline the criteria for employee performance for the forthcoming evaluation period. Carl & Kapp (2004:18) state that the institutional mission, future strategic position and strategic goals often depend on the work ethic, goals and aims, needs and expectations of individuals who make up the institution. The institutional structure has to identify those behaviours that should be encouraged in order to attain strategic aims and satisfy realistic needs of staff. Mahmood & Joma (2013:112) state that performance standards are the benchmark against which performance is measured. To be effective, they should relate to the desired results of each job. From the duties and standards listed in the job description, the supervisor of the administrative employee can decide which behaviours are critical and should be evaluated.

4.2.2 PERFORMANCE EVALUATION AND FEEDBACK

Performance evaluation and feedback are the end stage of the performance management process and is conducted after the performance goals that were set have been completed. This stage leads to revisions of the individual's performance in an effort to improve performance. According to Kraipetch, Kanjanawasee & Prachyapruit (2013:319), effective evaluation requires transparency and accountability and furthermore, the nature of evaluation demands evaluative conclusion on what is evaluated along with the recommendations for improved performance. Evaluation is crucial for its direct function to provide growth and development.

According to Yurevna, Vladimirovich, Askoldovich & Aleksandrovna (2015:183), the evaluation process at higher education institutions should ensure that it has:

- Objectivity and complexity. The evaluation is done directly by managers and is based on employee's self- evaluation, objective personal performance data and employee activity.
- Transparency. Every employee should know and be informed on personal performance evaluation principles, description of the evaluation scale, efficiency levels of key requirement, key performance indicators and evaluation criteria for the current evaluation period.
- Feedback principle. Every manager should provide feedback to inform employees on the evaluation results, give recommendations and advice concerning performance.

Lyon (2008:476)) states that feedback is formative and is intended for development at the individual level. It is well accepted that goals and performance feedback are the most effective intervention available to improve learning and performance. Aguinis (2013:239) affirms that feedback lets employees know how well they are doing with respect to meeting the established standards and outlines the following important purposes of feedback which supervisors at Durban University of Technology can adopt to improve future performance of their employees. These include:

- Helps build confidence. Praising good performance builds employee confidence regarding future performance.
 - Develops competencies. Communicating clearly what has been done right and how to do the task correctly is valuable information that helps employees become more competent and improve in their performance.
- Moreover, feedback provides useful information by preventing past mistakes from being repeated.

- Enhances involvement. Receiving feedback and discussing performance issues allow employees to understand their roles and helps them become more involved in their performance and their department.

Long *et al.* (2013:75) contend that the review process is the most vital component in the performance management system in that it allows managers and line managers to discuss with employees their performance in an open environment. Mahmood & Joma (2015:117) state that assessing performance will help in making administrative and personnel decisions such as compensation, promotion, discipline termination or layoffs. Providing developmental feedback recognises achievements and identifies areas for improvement and training needs. Carl & Kapp (2004:20) assert that feedback has to provide new knowledge and the individual must feel that the feedback information is valuable, relevant, accurate and descriptive. It is critical that managers of administrative staff at the Durban University of Technology are trained to provide constructive feedback to their employees so that corrective measures can be put in place to rectify any deficiencies. Evaluation by line managers should also be conducted fairly and timeously. Sillup & Klimberg (2010:44) state that the effectiveness of evaluation and feedback can benefit the institution by improving performance and for the employee, the process can increase motivation, job satisfaction and developmental potential.

According to Banik & Bhaumik (2006:1077), human capital is the knowledge, skills, competencies and other attributes embodied in individuals that are relevant to economic activity. Managers can determine the human capital development techniques that their staff may require. These may include coaching, mentoring or training and development to improve their skills and thus enhance performance.

4.2.3 MENTORING AS A METHOD OF IMPROVING AND DEVELOPING STAFF PERFORMANCE

Parise & Forret (2007:226) state that mentoring is where a more senior, experienced individual is committed in providing guidance to a less experienced protégé. Poulsen (2006:256) postulates that mentoring is about creating a synergy between two people in a learning alliance. It is a strategic developmental activity that supports the organisation's vision, goals and values and the participant's own developmental needs. Mentors provide the protégé with career functions and psycho-social support. Gibbs (2001:34) affirms that mentoring outcomes for employees can be expected to manifest themselves as changes in their skills, knowledge and attitude. Such changes are conventionally related with learning, psychosocial and career benefits, that is, mentoring can have outcomes related to learning, development of the person and the development of their careers.

Ekechukwu & Horsfall (2015:37) assert that mentoring in higher education is seen to favour educational administrators, as well as academic staff. Mentoring is characterised as aiming to build confidence and competency, or to develop flexibility and character. Lamm & Harder (2014:3) concur that a good mentor will build the protégé's confidence and independence. According to Ndebele, van Heerden & Chabaya (2013:123), mentoring at universities show that it has a positive outcome for both mentors and mentees and these include developing collegiality, networking, professional development and personal satisfaction. Additionally, benefits for mentees can include higher rates of retention and promotion and better perception of themselves as administrators. Ekechukwu & Horsfall (2015:38) and Lamm & Hader (2014:2) identified the following benefits of mentoring for the institution:

- Mentoring increases the profile of the institution as the institution places high values on supporting and developing their employees.

- Mentoring increase awareness of opportunities for growth and succession planning.
- It enhances a positive environment and provides a clear understanding of expectations for new employees.
- It increases retention and engenders high levels of employee commitment and loyalty.

However, Gay (2004:5) argues that the success of a mentoring programme is dependent on the training given to the mentors and the protégé. The training given to mentors must attempt to familiarise them with both the techniques of mentoring and the overall goal of the mentoring programme. In addition, Cureton, *et al.* (2010:82) posit that participation in mentoring programmes impacts positive relationships with other staff, increases productivity and encourages people to engage in more activities that enhances the institution's reputation. Ndebele, van Heerden & Chabaya (2013:131) provide some intimation that institutions can use when implementing mentoring and that is something that management at the Durban University of Technology should consider. Firstly, mechanism should be put into place to induct heads of departments to the programme so that they can co-ordinate the programme in their departments. Secondly, a proper monitoring system must be put in place which would be supportive to both the mentor and mentee and will assist them in handling any difficulties that may arise. Finally, management should increase funding for mentoring programmes and for the training of employees to become mentors which will provide an effective but cheaper form of staff development.

4.2.4 TRAINING AND DEVELOPMENT IN IMPROVING PERFORMANCE

Wan (2007:298) defines training as a planned process to modify attitudes, knowledge, skills and behaviours through learning experience to achieve effective performance in an activity or a range of activities. De Simone & Harris (1998:98) concur that training and development focuses on the improvement of knowledge, skills and abilities (key performance areas) of individuals. Training involves the process of providing improvement to key performance areas specific to a particular job. Developmental activities, in contrast have a long-term focus in preparing for future responsibilities while increasing the capabilities of employees to perform their current jobs. Baird, Schoch & Chen (2012:166) affirm that training brings about relatively permanent changes in employee knowledge, skills, attitudes and behaviour and that training has been found to be associated with the success of new projects by convincing employees of the benefits of new approaches. Ghosh, Satyawadi Joshi, Ranjan & Singh (2012:194) postulate that evaluating the effectiveness of training programmes, which is a measure of the match between stated goals and their achievements is essential. Ghosh, *et al.* (2012:194) cites Kirkpatrick (1967) model when assessing the effectiveness of training. This hierarchical four-level model developed by Kirkpatrick should be considered by managers at the Durban University of Technology when evaluating the effectiveness of training of their staff. These levels are:

- Reaction. Measures how participants react to a training programme.
- Learning. Assesses the extent to which participants of the training programme have advanced in key performance areas.
- Behaviour. Measures the transfer of the changed behaviour of the employees due to the training programme.

- Results. Measure the success of the programme in terms of improved performance and improved quality and efficiency.

Lopez-Cabrales, Real & Valle (2011:358) purport that the development of unique knowledge depends on the potential of the employees being staffed and their willingness to acquire new and specific knowledge. By means of development practices, institutions can enhance the employees' contributions by improving current knowledge instead of new knowledge. Lyons (2008:472) states that there is a general need for effective training and performance improvements to assist educational institutions and its employees to be agile, resilient and as change-focused as possible. Browell (2000:63) contends that there is a perceived link between staff development, improved performance and quality. In further and higher learning, quality has recently become an important and significant issue, hence it is essential that all employees should actively engage in education, training and development so that their skills and abilities are appropriate to continuously improve both themselves and the institution. Kearney (2004:24) posits that there has been an enormous demand for training which will reinforce the best assets of higher education – its academic and administrative staff. Therefore, human resource development which extends beyond management training for all levels of personnel, including the acquisition of skills and familiarisation with major higher education policy issues has become a priority.

However, Chaudhary & Bhaskar (2016:43) attest that institutions of higher learning must develop a sustained long term faculty development strategy to enable their valuable human resources to work effectively and to accomplish the institutional goals that are necessary to survive in this rapidly changing environment of higher learning. Furthermore, Chaudhary & Bhaskar (2016:43) contend that there are many training and development programmes that are available to the faculty to enhance and upgrade their skills.

The training and development programmes include: seminars, faculty development programmes, workshops, conferences, short term programmes and orientation. Therefore, it is recommended that managers at Durban University of Technology should award employees time off from their daily activities to attend some of the training programmes to improve their skills base. Managers should also be aware that training programmes not only improve employees' skills but also enhances their performance, motivates and gives employees a sense of job satisfaction.

4.2.5 THE DEVELOPMENT OF COMPETENCIES AND LEARNING

Employees attending performance development programmes enhances their competencies leading to improved performance. Sengupta, Venkatesh & Sinha (2013:506) state that knowledge, skills, attitudes, traits and motives represent the individual competencies. Williams (2003:109) affirms that competencies may range from developing self-confidence, self-control, teamwork and interpersonal understanding. Blackman & Lee-Kelly (2006:628) assert that the role of human resources management development in promoting human capital and core competencies is advocated as an investment for competitive advantage. Skills and knowledge can be acquired by individuals and is shared to improve the institution itself. When competencies of staff improve, learning is the outcome. Pickett (2005:303) states that learning is an organisation's overall ability to learn, innovate and ultimately to achieve a continual level of improvement. The human capital development techniques assist employees to make improvements in task achievement, contextual skills and overall competency.

Research conducted by Lyons (2008:477) states that learning involves the interplay between two inter dependents of knowledge: acquisition and transformation [how to get information (mentoring, training and development)] and what to do with it

[transference to the job]. In the human capital development model, learning is viewed as a continuous process of responding to diverse personal and environmental demands that arises from the interaction between experience, conceptualisation, reflection and action in a cyclic fashion. When learning is transferred into the working environment, the individual will be evaluated to determine the effectiveness of the human capital development methods. Based on the exploratory model, the outcome of the evaluation process can either lead to an improvement in performance or the individual continues to fare poorly in the job. With the latter outcome, the manager would continue to provide the individual with further training and development. However, if the former occurs where the employee's performance has improved, it can be beneficial to both the employee and the institution.

4.2.6. BENEFITS TO THE EMPLOYEE

Lopez-Cabrales, Real & Valle (2011:348) state that human capital with its valuable and unique knowledge is a strategic asset for any institution and that institutions should continue to select and retain this type of employee so as to generate human capital advantage, greater competitiveness and ultimately institutional growth. The human capital development model will improve employee performance which can result in positive outcomes for both the individual employee (succession planning and career development) and the institution (institutional effectiveness and employee retention). However, Merchant (1994:1) states that higher learning institutions are facing problems in retaining their employees. In addition, it is expensive to replace employees who leave for greener pastures or are lured away by other institutions. As a result, a number of institutions have responded to this issue by implementing career development programmes in the workplace. Jehanzeb & Bashir (2013:244) state that career development programmes were developed for employees in order to align their skills with the changing nature of jobs and to ensure that programmes were adding value and growth to the institution.

Succession planning can be viewed as part of a career development programme which the Durban University of Technology can implement in their training of administrative staff.

4.2.7 SUCCESSION PLANNING

Performance management is the foundation upon which succession planning is built. For many universities, performance management is just an annual human resource process to measure performance rather than an effort to improve performance or identify future leaders. According to Hills (2009:8), succession planning is more than filling the top positions in an institution, it is a smart talent management strategy that can drive retention of talent throughout the organisation and ensure that the organisation has the skills it needs in place to respond to the rapid changes that make up today's business environment. Croteau & Wolk (2010:68) state that succession planning is preparing an organisation's future with the appropriate and necessary development of human capital to succeed into critical leadership positions.

Clutterbuck (2005:11) states that every role is a learning resource in which the employee can develop not only skills relevant to the job, but the capabilities to embrace different and/or larger jobs. Tinuke's (2015:60) research affirms that to reposition higher education for effective performance and service delivery, public universities must institute efficient human resources and succession planning to assemble teams of internal talents aimed at improving management continuity, ethics and the philosophy of the institution. Long *et al.* (2013:75) state that successfully implemented succession planning will ensure that institutions will be able to retain and develop their current good employees and also establish guidelines for attracting employees of similar calibre throughout the institution for the foreseeable future. Abdullain *et al.* (2009:131) contend that succession planning, whether it is in a corporate or in a higher

learning setting, it should not function as an isolated entity but rather as an integral component of the overall human resources planning process.

The Cornerstone OnDemand Report (2010:1) argues that many universities are not taking the necessary steps to develop their own administrative staff or leadership talent. In addition, institutions have been slow to adopt and implement learning and talent management strategies that could help facilitate and ensure the development of staff at higher learning institutions. However, the Hanover Report (2010:4) states that even if succession planning does not produce an internal succession for senior administrative positions, it can produce other positive results. Succession planning forces an institution to take stock of its administrative personnel and to devote more attention and resources to the career development of its employees which can improve the performance of current employees and attract a higher quality of new applicants. Managers and supervisors at the Durban University of Technology should provide guidance and assistance in the identification of human capital development needs and focus on assisting employee progress in their career while encouraging their professional development. Managers can support their employee's development through mentoring, coaching and on-going feedback on their performance. In addition, developing a succession planning policy for administrative staff will motivate employees in believing in career development and mobility within the institution. A succession planning policy will give employees the opportunity to apply and move to new positions within the institution as vacancies occur. Developing a succession planning policy will encourage continuous improvement and self- development of the administrative employees at the Durban University of Technology. By investing in their employees and providing career development and succession planning opportunities will enhance employee satisfaction and employee retention which is beneficial to any educational institution.

4.2.8 RETENTION OF EMPLOYEES

Theron, *et al.* (2014:4) state that insufficient career opportunities and inadequate employee development have implications for the motivation of employees therefore, leaders of institutions for higher learning need to address the core competencies and human characteristics that are required for career advancement. Ngobeni & Bezuidenhout (2011:9963) affirm that when employees perceive no opportunities for growth and development and that their career paths are blocked, they become frustrated. Selesho & Naile (2104:298) contend that increasingly intense recruitment and global demands makes it difficult to retain scarce skills. The main shortcoming is not only the fear of losing key members, but also the loss in productivity and replacement cost.

Erasmus, *et al.* (2015:33) state that talent retention has become a major concern for higher learning sectors because of its aging workforce and limited prospects of recruiting and retaining young talented individuals. Selesho & Naile (2014:295) affirm that employee retention is one of the most critical issues facing institutional managers because of the shortage of skilled workers, economic growth and high employee turnover. Furthermore, Erasmus, *et al.* (2015:33) claim that employees are more likely to remain with the institution if they believe that the institution shows more interest and concern for them, if they are given a position that fits their capabilities and if they receive regular feedback and recognition. Netswera, Rankhumisee & Mavinala (2005:37) concur that opportunities for promotion, training and development are among the most important reasons why employees stay in the institution. David (2005:3) further attributes the retention of staff to career development, executive coaching and ample training and developmental opportunities which can discourage turnover by keeping employees satisfied and well-positioned for further growth opportunities.

The talent mind-set of higher education leadership at the Durban University of Technology should focus on acquiring a holistic understanding of attracting, developing and sustaining higher learning talent. In addition, the Durban University of Technology can adopt the recommendation provided in a research conducted by Dube & Ngulube (2013:8) for the University of South Africa (UNISA). They contend that in order to manage talent, the university needs to audit its knowledge assets, identify risk areas and put plans into place to mitigate those risks. Furthermore, it needs to align institutional systems and policies with collective performance principles rather than individual performance and finally, there is a need to develop an institutional knowledge framework that will facilitate the implementation of talent management, mentorship programmes, career conversation and career development initiatives as a formal and effective retention strategy of human capital. Failure to invest in people could lead to the loss of critical skills and the richness of future talent.

The final step of the conceptual model is internal and external changes. This implies that any changes that occur within the framework of the institution needs to be adjusted in the system to ensure institutional effectiveness.

4.3 BENEFITS OF THE EXPLORATORY HUMAN CAPITAL DEVELOPMENT MODEL

The model can provide the following benefits:

- The model favours democratic practices in its implementation. All administrative staff should be given equal access to development and improvement of their skills.

- The model provides for effective and positive feedback at regular intervals which will assist employee awareness of their performance.
- The exploratory human capital development model highlights constructive assessment by performance management systems and constructive interaction by human capital development methods.
- The model serves as an immediate internal intervention where there is underperformance of employees within their departments. Line managers and the higher learning institutions should embrace such interventions.
- The exploratory model emphasises support by the institution. It places additional responsibility on the institution's management to take cognisance and highlight their commitment to staff development and performance.
- The exploratory model provides a tentative structure, after implementing performance management, by putting in place corrective measures.
- The model emphasises an effective internal workforce supply structure by suggesting succession planning for high performing employees.
- The exploratory model reminds employees that development programmes are available to improve and enhance performance, thereby creating opportunities for career advancement.
- Although the exploratory model suggests four methods of staff development and staff improvement, the institutions management can reconnoitre other cost effective development tools to assist in staff development.
- The exploratory human capital development model is a reactive and proactive model. It outlines to management and administrative staff how to react to poor performance and how to practically improve and develop performance.

For an institution to improve effectively it needs to consider the following:

- How they are committed to the training and development of all staff?
- What planning processes are in place to deliver this intent, regarding both institutional development planning and personal planning?
- What action and review mechanisms are available to monitor and review progress towards achievement of both institutional and personal goals and targets?
- How has investment in training and development contributed to the achievement of targets at an individual, faculty, departmental, and institutional level?

4.4 CONCLUSION

The exploratory human capital development model (Figure 4.1) addresses these issues and provides a practical implementation of the model at the Durban University of Technology. Thus, the model is developed as a change model that acts as catalyst for staff development and performance. Chapter 5 outlines the results of the quantitative analysis. The analysis of the results for each analysed response category is followed by a discussion of the key findings of the empirical components of the study.

CHAPTER 5

ANALYSIS OF RESULTS AND DISCUSSION OF FINDINGS

5.1 INTRODUCTION

This chapter presents the analysis of results and discusses the findings obtained from the empirical analysis of the questionnaire in this study. The data collected from the responses was analysed with the Statistical Package for the Social Sciences (SPSS) version 24 for Windows. The results are presented in the form of numbered graphs, figures and tables. The target population comprised 753 administrative employees at the DUT. The sample of 254 administrative employees was determined from a source list for sample selection. A questionnaire that comprised mainly Likert scale statements was mailed to the sample of 254 selected respondents from the selected campuses of DUT. 176 sample respondents returned the questionnaire. Three questionnaires were discarded as the majority of the questions were not answered. 173 questionnaires were considered for this analysis of data. Sekaran (2003:303) posits that for blank responses, it is necessary to indicate that “xx questions were not answered”. Sekaran (2003:303) further attests that the researcher should “ignore the blank response”. It was therefore necessary to indicate the number of the sample respondents that did not answer the question. Thus, the average response rate varied for each question in this study. The overall average equated to 68.1%. The main problem revolved around implementing human capital development strategies to underperforming administrative employees aligned to performance management systems. In light of this, an exploratory human capital development model aligned to performance management systems was developed for administrative employees at the DUT. This chapter focuses on the descriptive and inferential statistics used for the analysis.

5.2 ANALYSIS OF RESULTS

An overview of descriptive and inferential statistics used in this empirical study is presented below. The preliminary analysis is shown using descriptive statistics. According to Levine, Ramsey & Smidt (2010:1), the term ‘statistics’ can have many meanings and as the number of observations get larger, it becomes necessary to condense the data into appropriate summary tables. Welman & Kruger (2002:216) concur that a large data file can be reduced to useful information, which can facilitate the interpretation of data and the drawing of conclusions by means of descriptive and inferential statistics. Willemse (2004:2) states that descriptive statistics includes the collection, classification, presentations and analysis of data to give a clear picture of a situation at a given point in time. Kumar (2014:349) states that in quantitative studies text is a dominant method of communicating research findings and it is often combined with other forms such as tables, graphs and statistical measures, which can make research easier to understand. Welman & Kruger (2002:216) affirm that results can be presented:

- as tables (for example, cross-tabulation);
- as graphs (for example, histograms, bar diagrams, pie charts and scatter diagrams);
- as statistical summaries (for example, means, standard deviations, correlation coefficient); and
- as selected quotations (for example, writing representative statements from responses obtained from an interview).

The descriptive data for this study are presented in tables, pie charts and bar diagrams. Harris (1995:6) states that inferential statistics involves drawing conclusions about a broader group of people or scores than the ones available. The testing of such predictions or hypotheses is a major function of inferential statistics.

Creswell, *et al.* (2016:308) concur that the researcher interprets the results in light of initial predictions and prior research on the same topic. Sekaran (1993:270) argues that inferential statistics comprises two branches: Parametric Statistical Tests (robust) and Non-Parametric Statistical Test (less robust). The Kaiser-Meyer-Olkin and Barlett's Test was conducted to test the construct validity of the measuring instrument, Correlation Analysis was performed to test the relationships between the variables of the exploratory human capital development model and The Pearson's Chi-Square (a non-parametric Test) was extensively used to test the hypotheses. Harris (1995:377) states that a Chi-Square Test is a non-parametric technique that assess whether or not the frequencies of scores obtained on one or more nominal-level variables differ significantly from those to be expected based on some theory. Creswell, *et al.* (2016:275) affirm that calculations for this kind of analysis are based on the two-way cross-tabulation (also referred to as the contingency table) of the two variables.

5.3 DESCRIPTIVE ANALYSIS OF RESULTS

5.3.1 GENDER OF RESPONDENTS

TABLE 5.1 GENDER OF RESPONDENTS (n = 173)

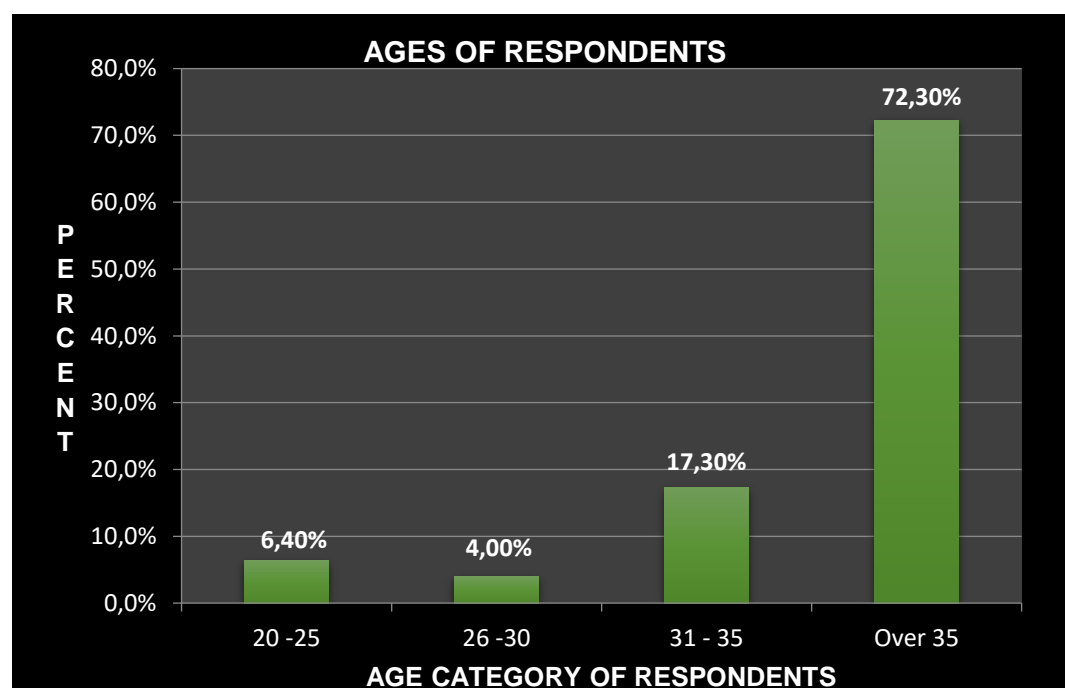
	GENDER		TOTAL
	MALES	FEMALES	
COUNT	63	110	173
% OF TOTAL	36.4%	63.6%	100%

Table 5.1 illustrates the gender of the respondents from the selected campuses of the Durban University of Technology comprising the sample of the study. Table 5.1 shows that all the respondents from the sample provided details regarding gender. The sample consisted of males and females in a ratio of (approximately) 1:2. Over two-thirds (63.6%) of the respondents were females. The smallest single grouping of respondents was males (34.6%).

5.3.2 AGES OF RESPONDENTS

Figure 5.1 shows the age of the respondents comprising of administrative employees who made up the sample in this study. As depicted in Figure 5.1 below, 125 (72.3%) of the respondents fell into the (over 35) age bracket while 27.7% of the respondents were between the ages (20–30). The analysis shows 17.3% of the respondents were between (31-35 years) and 72.3% fell in the (over 35years) age bracket. This shows that the majority of the respondents who answered the questionnaire were older (89.6%).

FIGURE 5.1 AGES OF RESPONDENTS (n = 173)



5.3.3 QUALIFICATIONS OF RESPONDENTS

FIGURE 5.2 QUALIFICATIONS OF RESPONDENTS (n = 173)

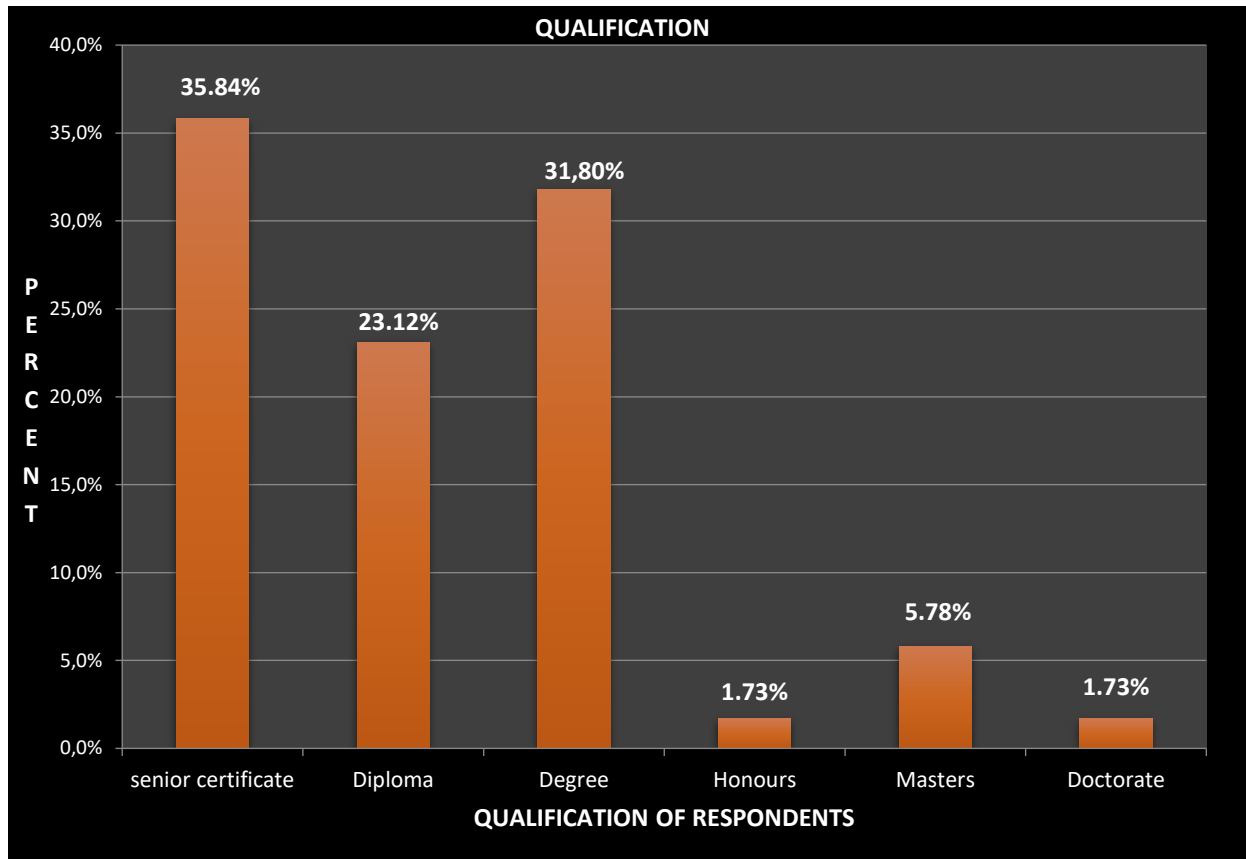


Figure 5.2 show that 173 respondents from the selected campuses comprising the sample completed the information regarding their qualifications. Figure 5.2 indicates that 62 out of the 173 respondents (35.84%) had a senior certificate as their highest qualification. Figure 5.2 show that 40 out of 173 (23.12%) had a diploma, while 55 out of 173 (31.80) had a degree. Figure 5.2 reflects that 10 out of 173 (5.78) had a master's degree, while 3 out of 173 (1.73) had a doctorate qualification. The majority of the respondents 64.16% had a post matric qualification. This indicates that the responses gathered would have been from an informed source.

5.3.4 LENGTH OF SERVICE OF RESPONDENTS

FIGURE 5.3 LENGTH OF SERVICE OF RESPONDENTS (n = 173)

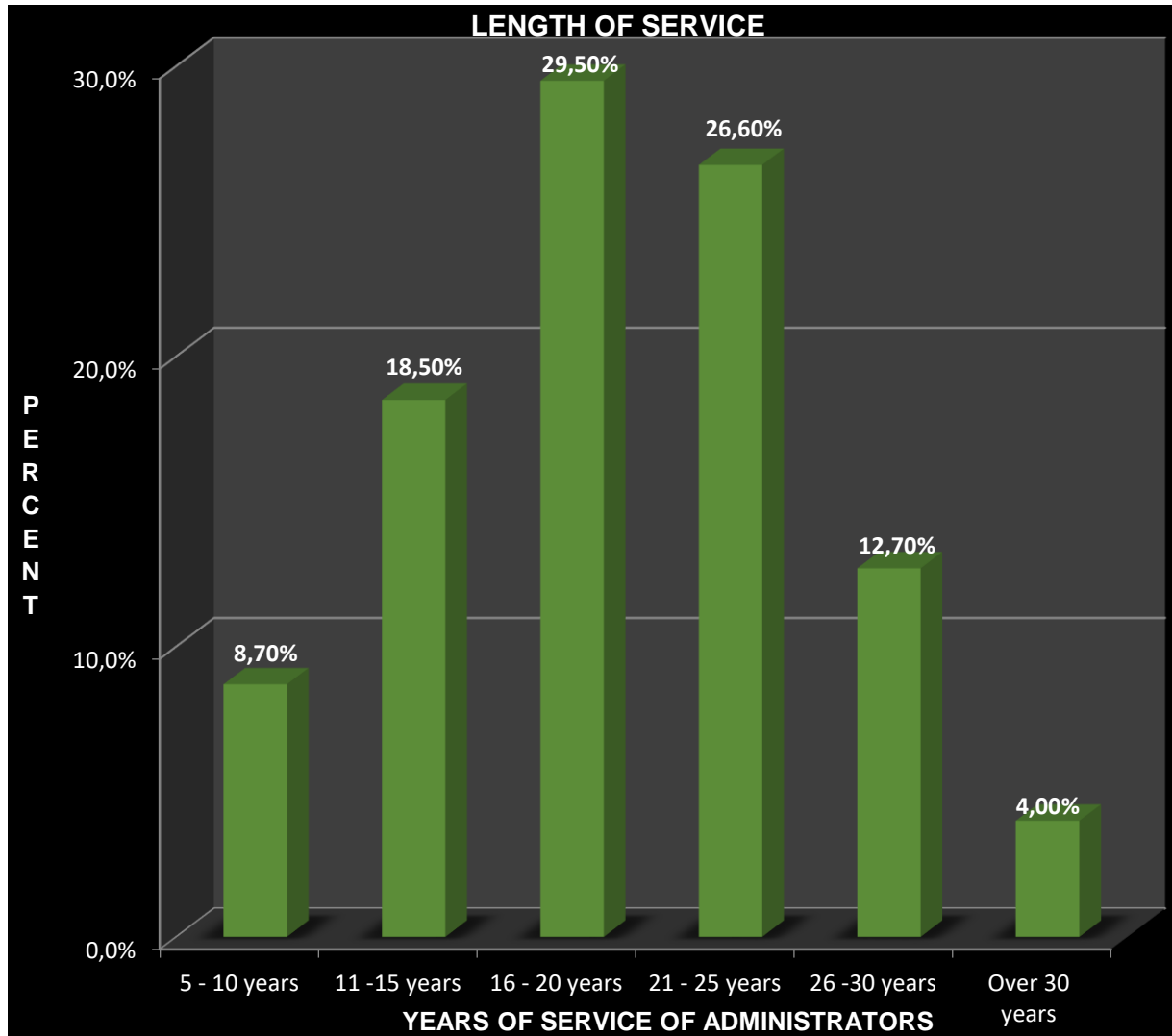
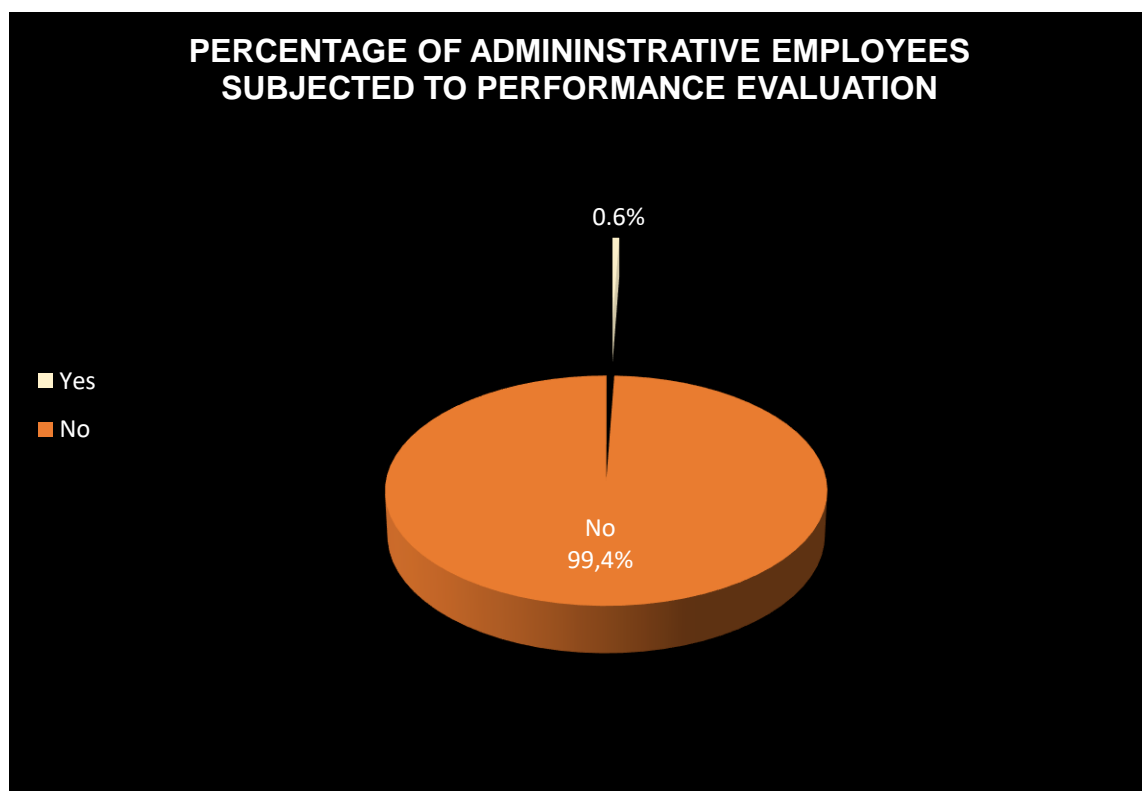


Figure 5.3 shows the length of service of the respondents from the selected campuses comprising the sample. As illustrated in Figure 5.3, 27.2% of the administrators comprising the sample had less than 16 years of administrative experience, while the majority of the respondents comprising the sample had over 15 years of experience (72.8%). Thus, feedback from respondents comprising the sample (72.8%) implies that respondents had been in employ at the Durban University of Technology for a

while and this serves as a useful fact as it indicates responses from experienced employees. Furthermore, Figure 5.3 shows that most of the respondents comprising the sample (29.5%) had been in their position for 16 to 20 years. The minority of the respondents comprising the sample (4%) had over 30 years of experience.

5.3.5 ADMINISTRATIVE EMPLOYEES SUBJECTED TO PERFORMANCE MANAGEMENT EVALUATION

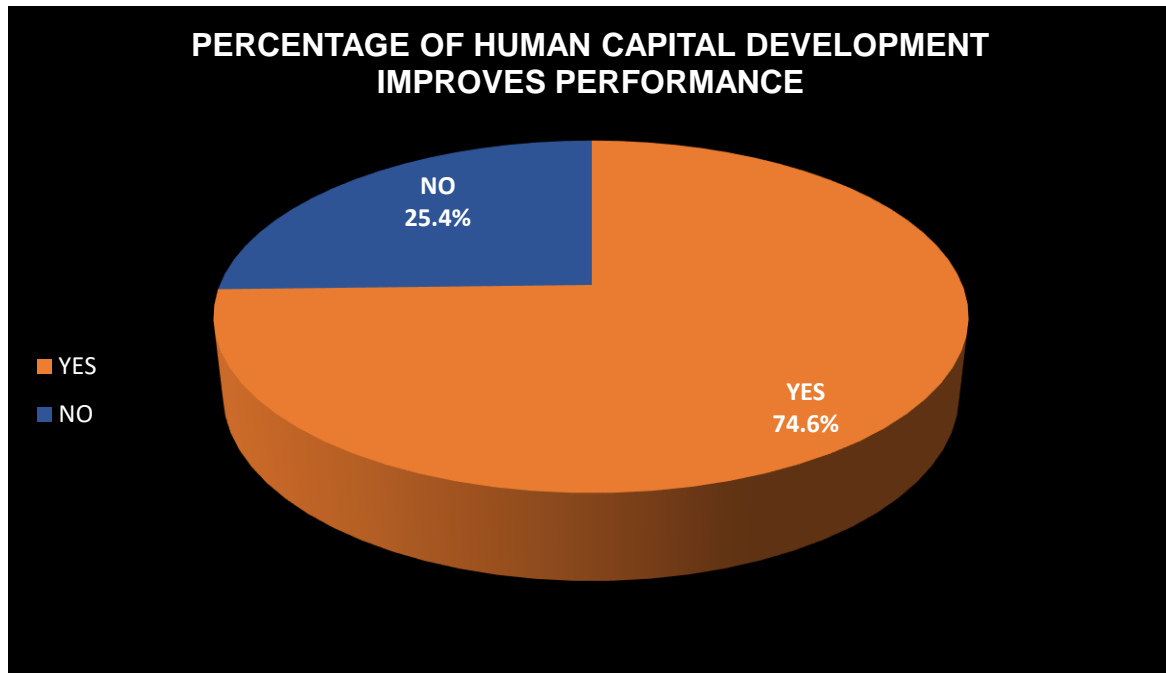
FIGURE 5.4 ADMINISTRATIVE EMPLOYEES SUBJECTED TO PERFORMANCE EVALUATION (N = 169)



Four respondents from the selected campuses that comprised the sample did not answer this question on whether or not they have been subjected to a performance evaluation. The pie chart Figure 5.4 reflects that (99.4%) of the respondents comprising the sample indicated that they were not subjected to a performance evaluation process. Only (0.6%) of the respondents comprising the sample indicated that they have been subjected to a performance evaluation process.

5.3.6 HUMAN CAPITAL INTERVENTIONS IMPROVES PERFORMANCE

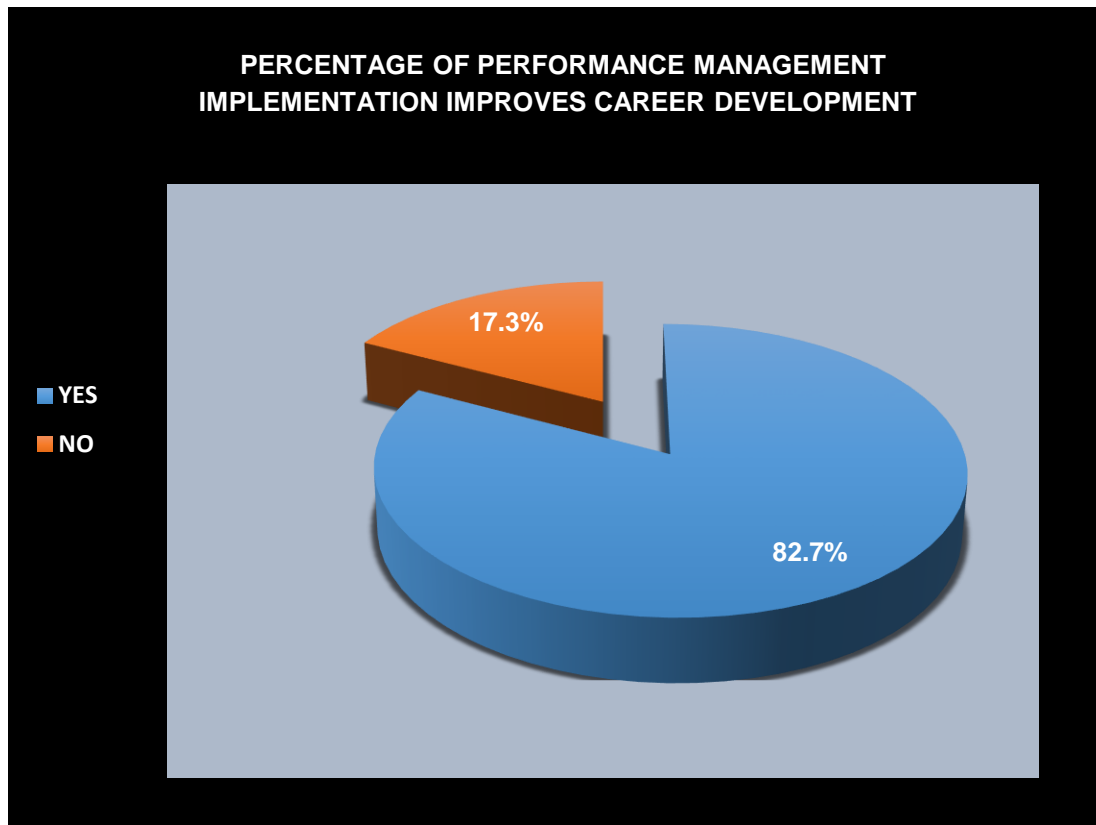
FIGURE 5.5 HUMAN CAPITAL DEVELOPMENT IMPROVES PERFORMANCE
(N = 173)



The total of 173 respondents from the selected campuses that comprised the sample answered this question. The pie chart (Figure 5.5) shows that 74.6% of the respondents indicated that the implementation of human capital interventions will improve their performance. Only (25.4%) of respondents as illustrated in Figure 5.5 indicated that the implementation of human capital interventions would not improve the performance of administrative staff.

5.3.7 PERFORMANCE MANAGEMENT IMPROVES CAREER DEVELOPMENT

FIGURE 5.6 THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT IMPROVES CAREER DEVELOPMENT (n = 173)

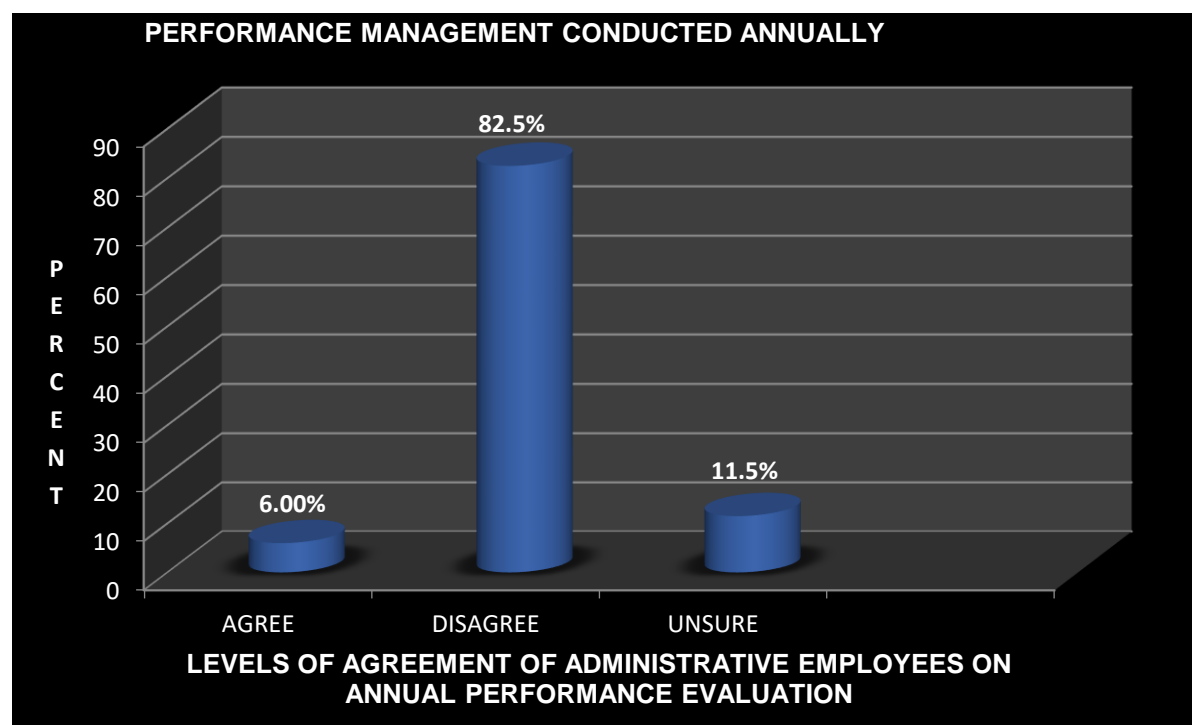


All respondents who comprised the sample answered this question. The pie chart above (Figure 5.6) reflects that only (17.3%) of the respondents from the selected campuses comprising the sample indicated that performance management does not influence the career development of administrative staff. The majority of respondents (82.7%) as illustrated in Figure 5.6 indicated that the implementation of a performance management system would improve their career growth within their respective departments.

5.3.8 ADMINISTRATIVE EMPLOYEES ARE EVALUATED ANNUALLY

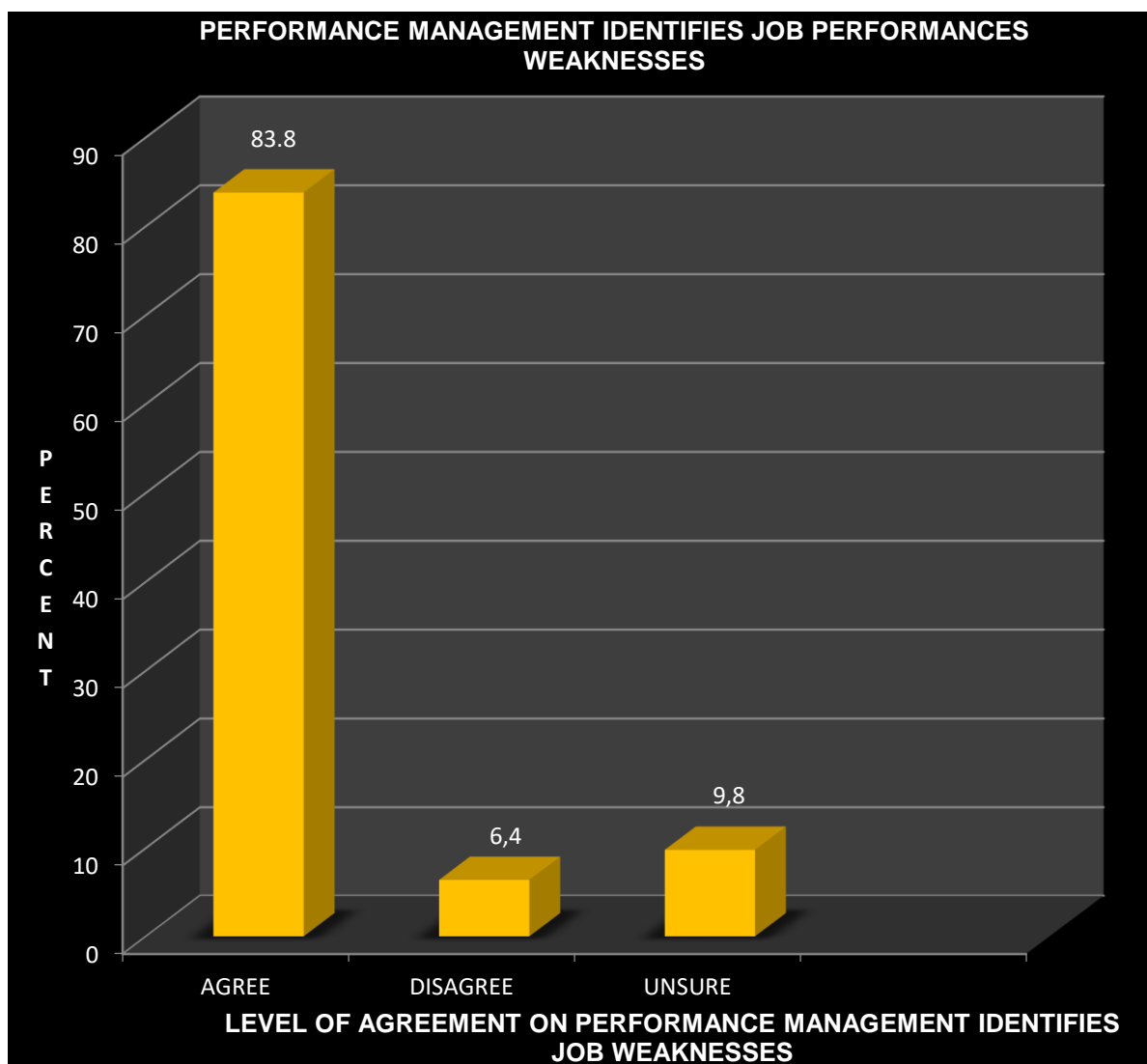
The number of respondents from the selected campuses that comprised the sample who did not answer this question regarding performance evaluation being conducted annually totalled 6. Figure 5.7 below shows that 6% of the sample agreed that performance was evaluated annually. Figure 5.7 illustrates that 82.5% of the sample respondents disagreed that performance was evaluated annually while 11.5% were unsure if their performance was evaluated annually. These figures affirm that approximately 94.0% of the administrative employees have not been subjected to an annual performance evaluation.

FIGURE 5.7 PERFORMANCE MANAGEMENT IS CONDUCTED ANNUALLY



5.3.9 PERFORMANCE MANAGEMENT IDENTIFIES ADMINISTRATIVE EMPLOYEES PERFORMANCE WEAKNESSES

FIGURE 5.8 PERFORMANCE MANAGEMENT IDENTIFIES PERFORMANCE WEAKNESSES (N = 173)

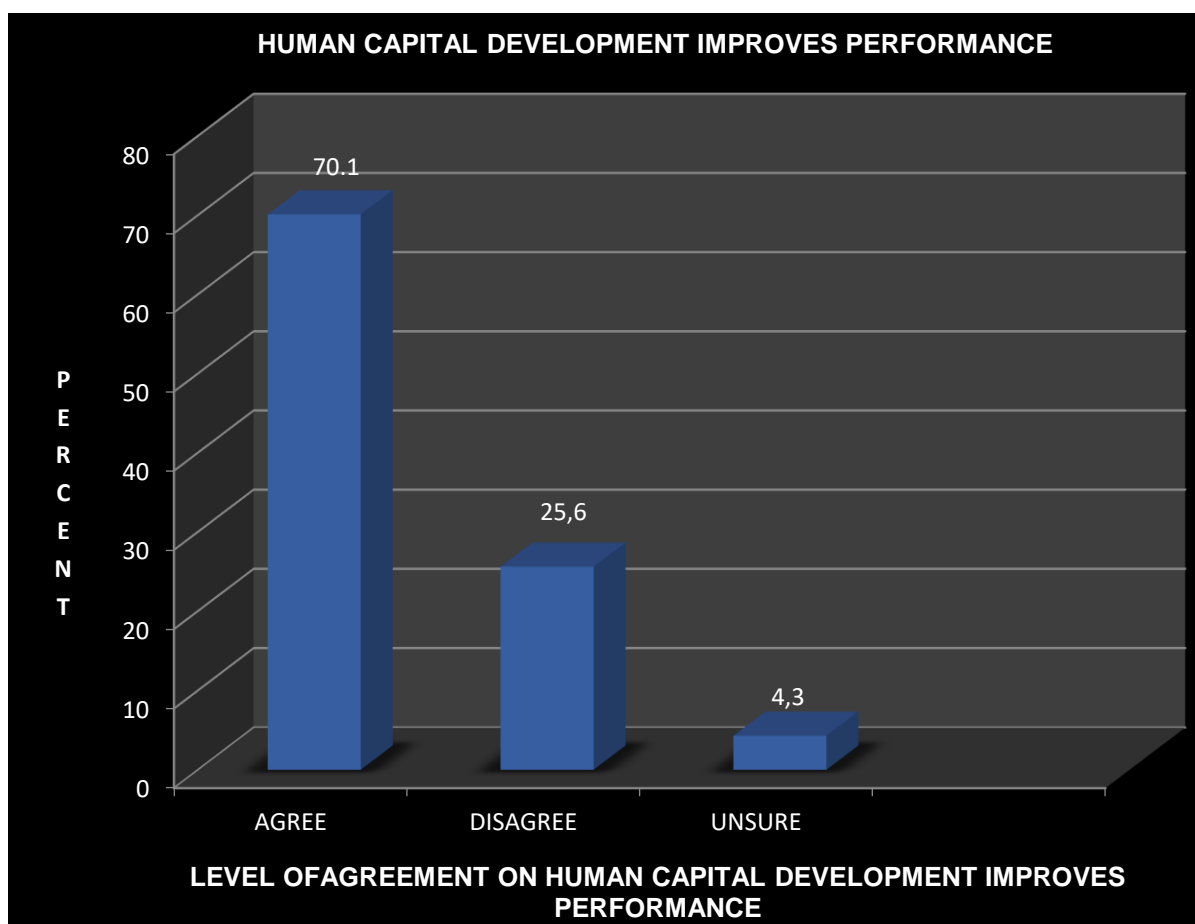


A total of 173 sample respondents provided information on performance management as a tool in identifying employee job performance weaknesses. The bar graph in Figure 5.8 indicates that 83.8% agreed that performance management is conducted to determine employee job performance weaknesses.

Figure 5.8 shows that 9.8% of the sample respondents disagreed that performance management systems are used in identifying employee job performance weaknesses, while 6.4% were unsure about performance management identifying employee weakness.

5.3.10 HUMAN CAPITAL DEVELOPMENT IMPROVES PERFORMANCE

**FIGURE 5.9 HUMAN CAPITAL DEVELOPMENT IMPROVES PERFORMANCE
(N =164)**

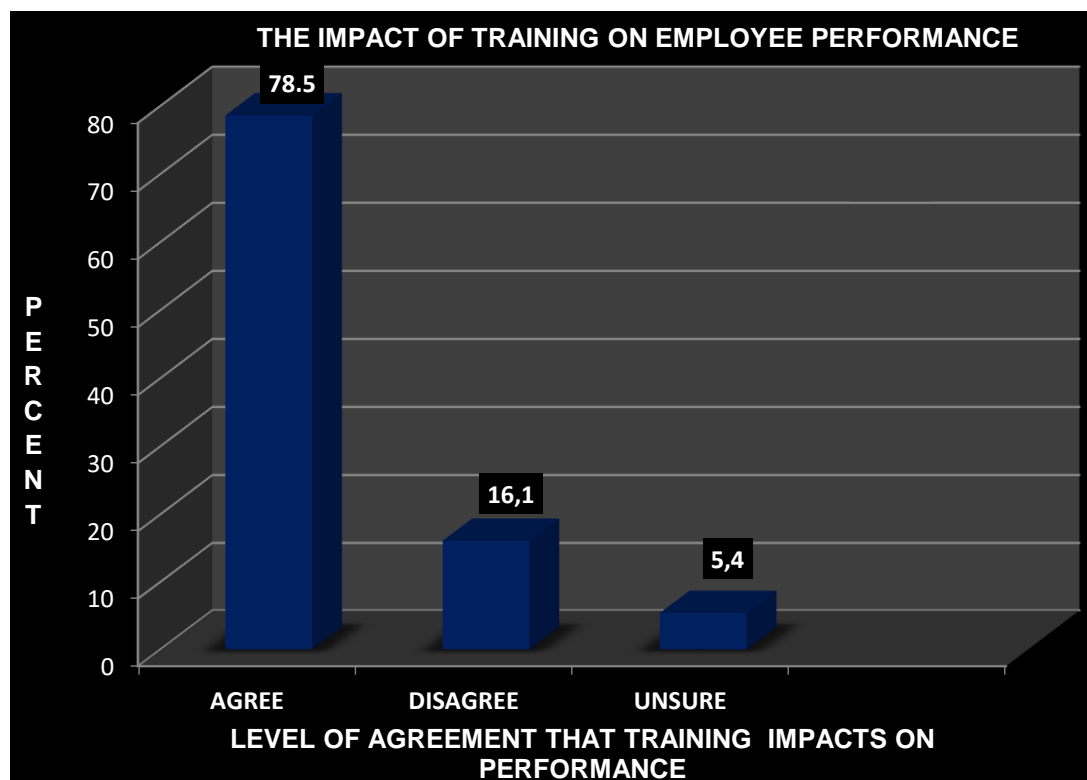


The number of respondents that did not provide information on human capital development improves performance totalled 9. Figure 5.9 shows that 25.6% of the sample respondents disagreed that human capital development improves performance.

The bar graph in Figure 5.9 reflects that two-thirds or 70.1% of the sample respondents from the selected campuses of DUT concurred that human capital development improves employee performance. Figure 5.9 also shows that only a small percentage 4.3% was unsure that human capital development of employee improves performance.

5.3.11 TRAINING OF ADMINISTRATIVE EMPLOYEES IMPROVES PERFORMANCE

FIGURE 5.10 TRAINING IMPROVES EMPLOYEE PERFORMANCE (N = 168)

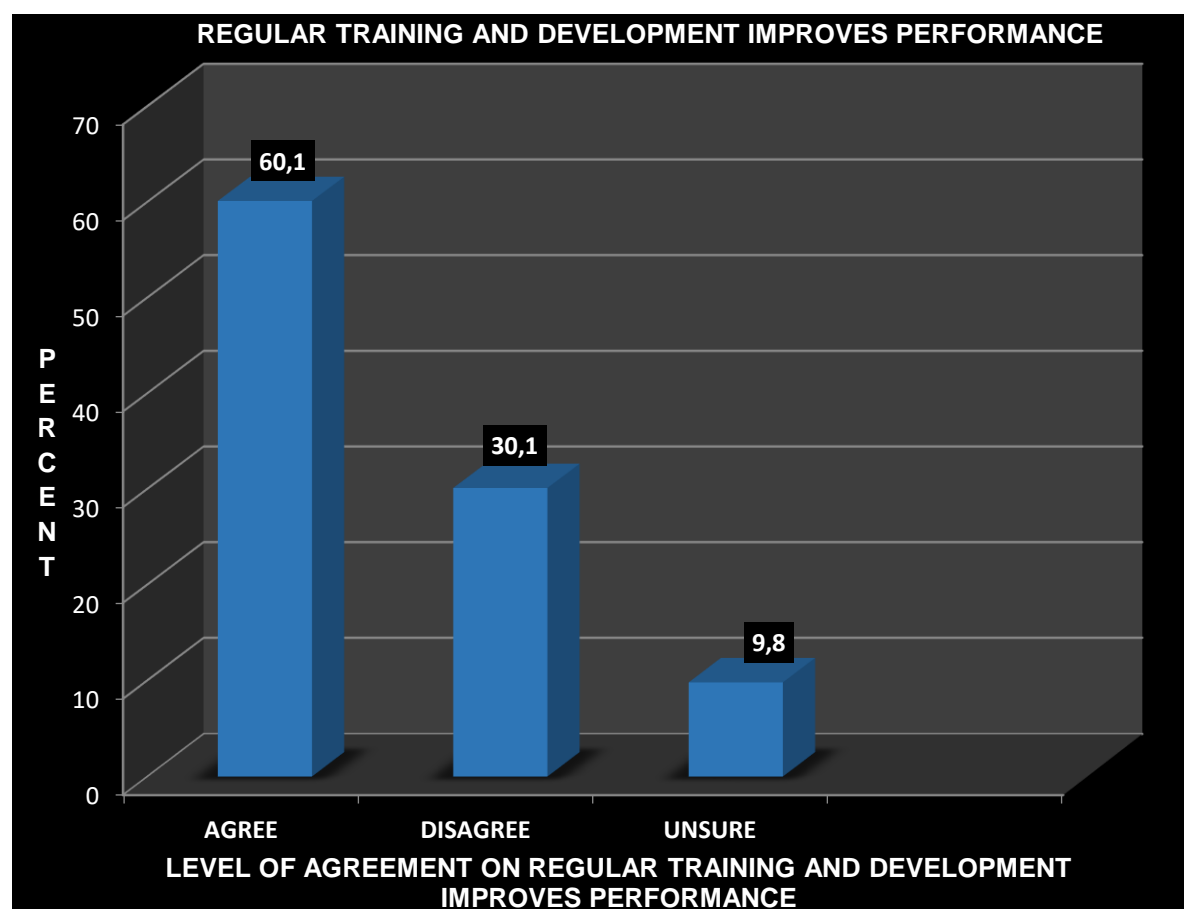


The number of sample respondents from selected campuses from DUT that failed to provide information on the impact of training on employee performance totalled 5. A relatively high percentage of the sample respondents 78.5% as illustrated in Figure 5.10 agreed that training had a positive influence on employee performance.

Figure 5.10 illustrates that 16.1% of the sample respondents disagreed that training impacts on employee performance, while 5.4% of the sample respondents were unsure if training impacts on employee performance.

5.3.12 REGULAR TRAINING AND DEVELOPMENT IS CONDUCTED TO IMPROVE PERFORMANCE

FIGURE 5.11 REGULAR TRAINING AND DEVELOPMENT IMPROVES PERFORMANCE (N = 173)

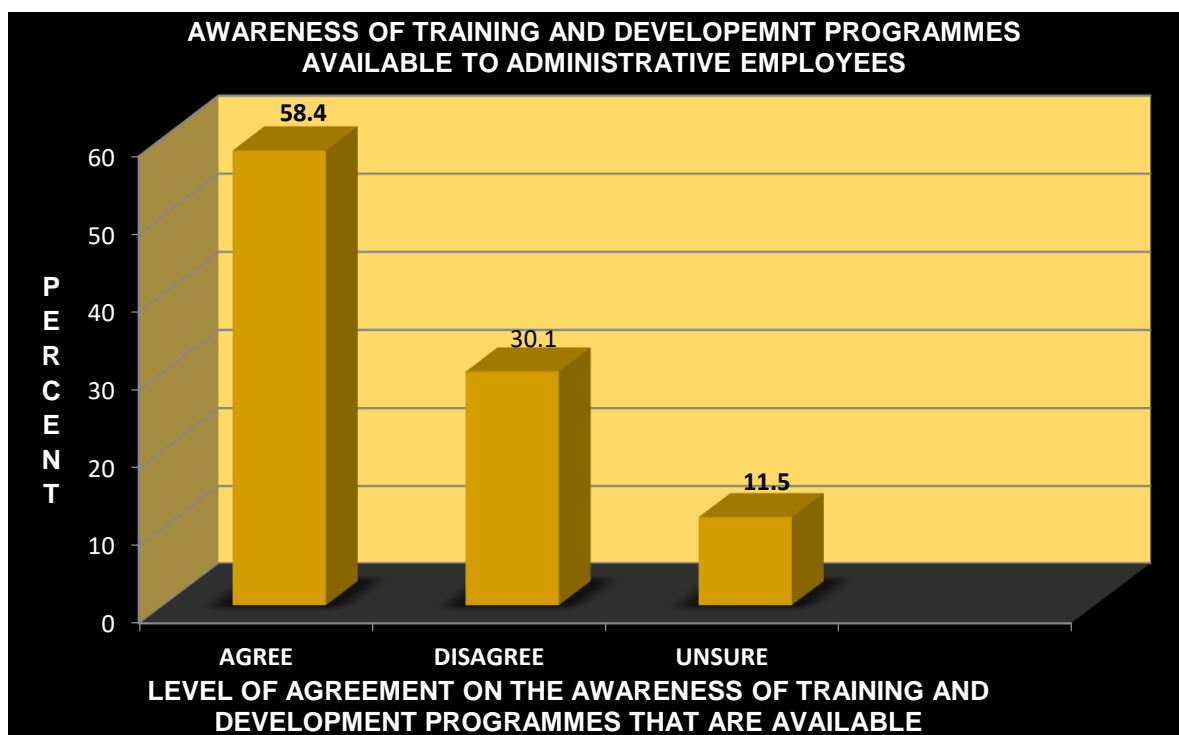


All sample respondents from the selected sample of selected campuses of DUT answered this question on regular training and development improves the performance of administrative employees. Training and development in this context is used as methods to develop human capital.

A majority 60.1% as depicted in Figure 5.11 agreed that regular training and development improves the performance of administrative employees. Figure 5.11 shows that 30.1% of the sample respondents disagreed with this statement while 9.8% of the sample respondents were unsure if regular training and development improved the performance of administrative employees.

5.3.13 ADMINISTRATIVE EMPLOYEES ARE AWARE OF THE TRAINING PROGRAMMES AVAILABLE

FIGURE 5.12 AWARENESS OF TRAINING AND DEVELOPEMNT PROGRAMMES AVAILABLE TO ADMINISTRATIVE EMPLOYEES (N = 166)

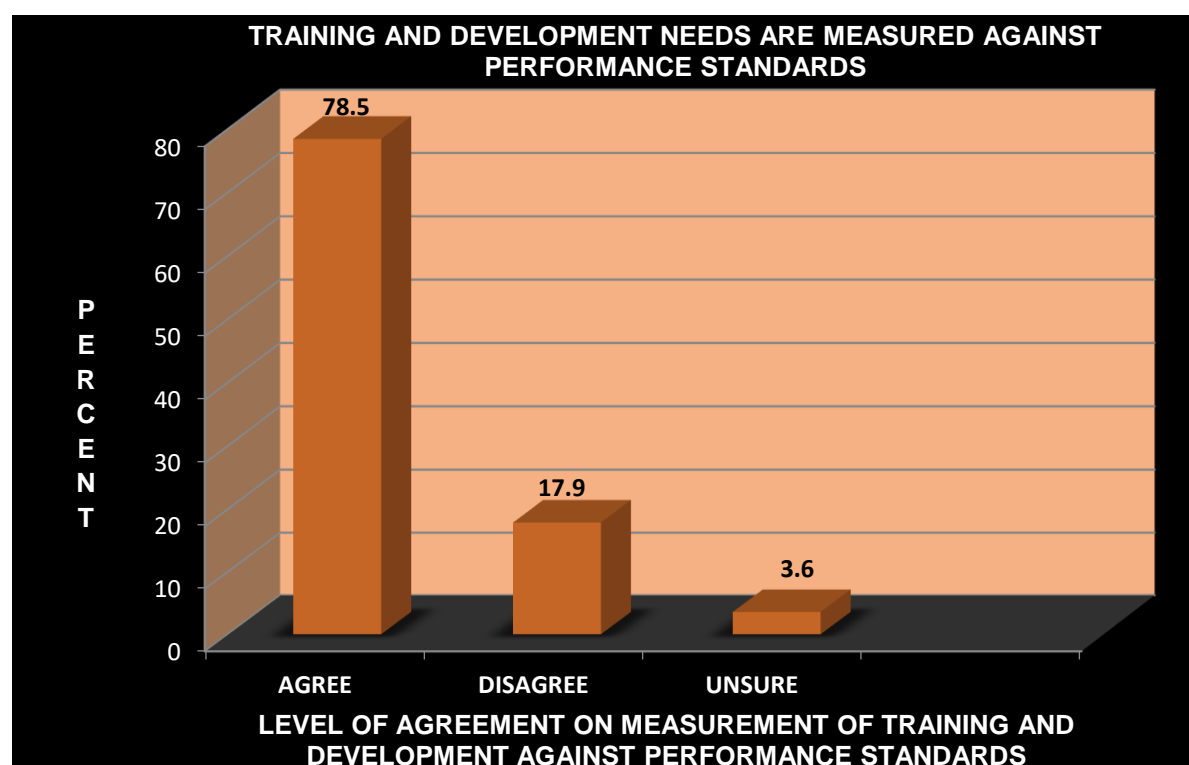


The number of sample respondents that did not respond to the awareness of training programmes that are available to administrative employees in the context of human capital development and performance management totalled 7. Figure 5.12 show that 58.4% of the sample respondents agreed that they were aware of the training and

development programmes available to them. Figure 5.12 illustrates that 30.1% of the sample respondents disagreed that they were aware of the training and development programmes available to them, while 11.5% of the sample respondents were unsure on the availability of training and development programmes that were accessible to them.

5.3.14 TRAINING AND DEVELOPMENT NEEDS ARE REGULARLY MEASURED AGAINST PERFORMANCE STANDARDS

FIGURE 5.13 TRAINING AND DEVELOPMENT IS MEASURED AGAINST PERFORMANCE STANDARDS (N = 168)

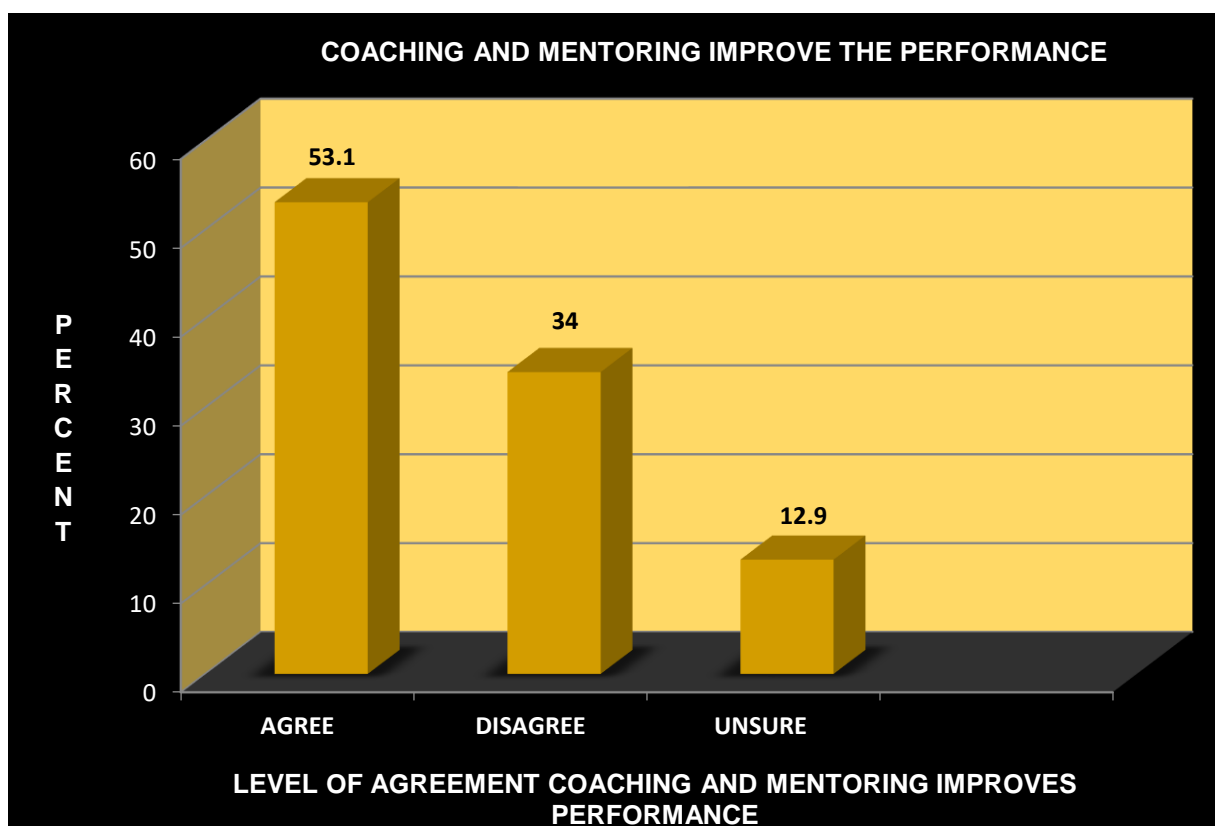


The number of respondents that did not answer the question on training and development needs being measured against performance standards totalled 5. Figure 5.13 illustrates that 78.5% of the sample respondents agreed that their performance was measured against the effects of training and development. Figure 5.13 depicts that 17.9% disagreed that their performance was measured against the effect of

training and development while 3.6% of the sample respondents were unsure.

5.3.15 COACHING AND MENTORING IMPROVES THE PERFORMANCE OF ADMINISTRATIVE EMPLOYEES

**FIGURE 5.14 COACHING AND MENTORING IMPROVES PERFORMANCE
(N = 162)**

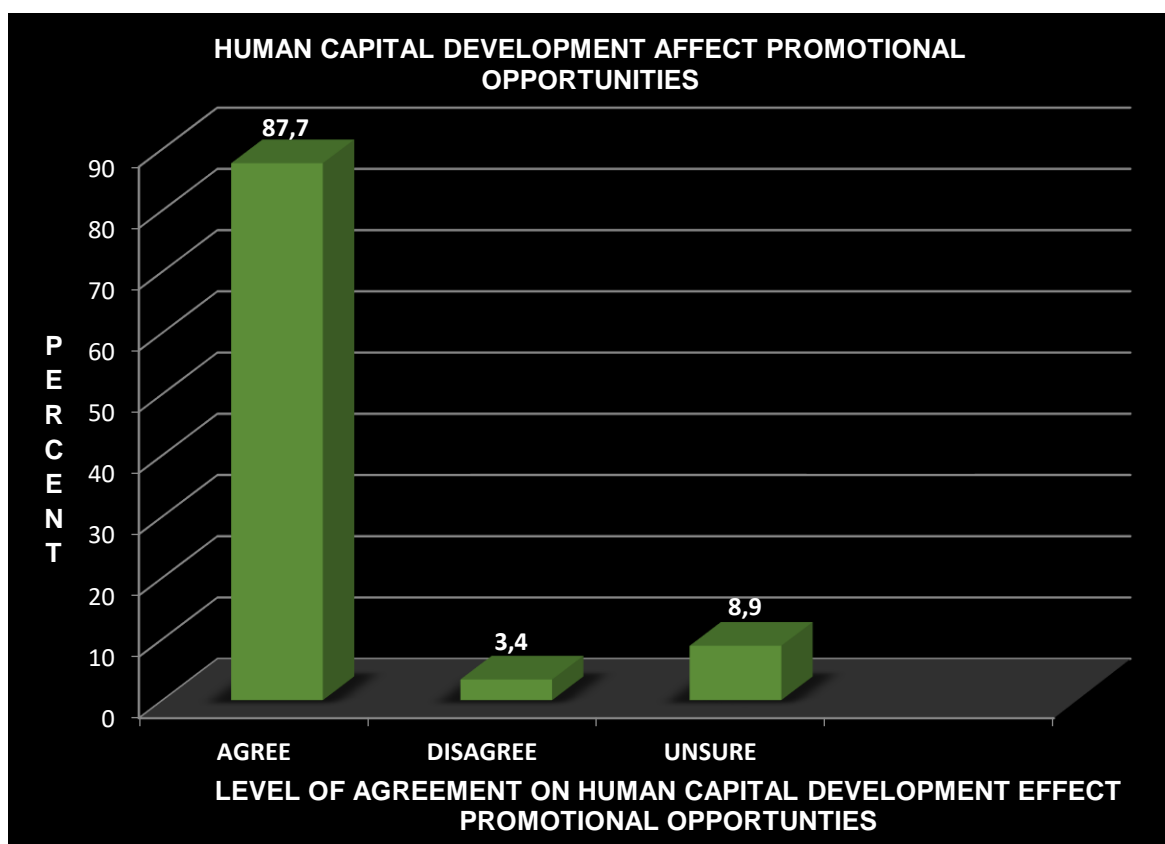


The number of respondents that did not answer the question that coaching and mentoring improves performance totalled 11. Figure 5.14 illustrates that 53.1% of the sample respondents agreed that coaching and mentoring improves the performance of administrative employees. Figure 5.14 depict that 34% of the sample respondents

disagreed that coaching and mentoring improves the performance of administrative employees while 12.9% were unsure if coaching and mentoring would improve performance.

5.3.16 HUMAN CAPITAL DEVELOPMENT INFLUENCES PROMOTIONAL OPPORTUNITIES OF ADMINISTRATIVE EMPLOYEES

FIGURE 5.15 HUMAN CAPITAL DEVELOPMENT INFLUENCES PROMOTIONAL OPPORTUNITIES (N = 173)

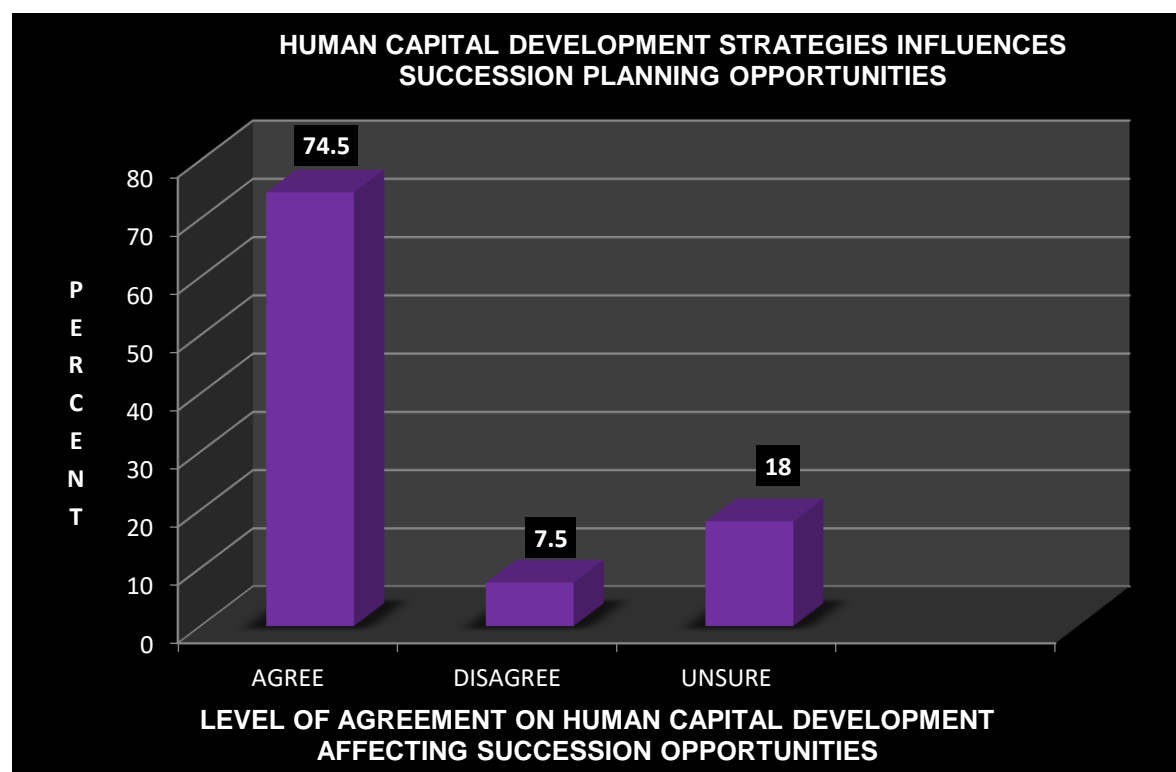


All sample respondents from the selected sample of DUT campuses answered the question on human capital development influences promotional opportunities. The human capital in this context referred to, *inter alia*, training, development strategies, coaching and mentoring. The majority of the respondents 87.7% as illustrated in

Figure 5.15 agreed that human capital development influences promotional opportunities for administrative employees at DUT. A very small percentage 3.4% of sample respondents as depicted in Figure 5.15 disagreed with this statement.

5.3.17 HUMAN CAPITAL DEVELOPMENT INFLUENCES SUCCESSION PLANNING OPPORTUNITIES FOR ADMINISTRATIVE EMPLOYEES

FIGURE 5.16 HUMAN CAPITAL DEVELOPMENT INFLUENCES SUCCESSION PLANNING OPPORTUNITIES (N = 161)

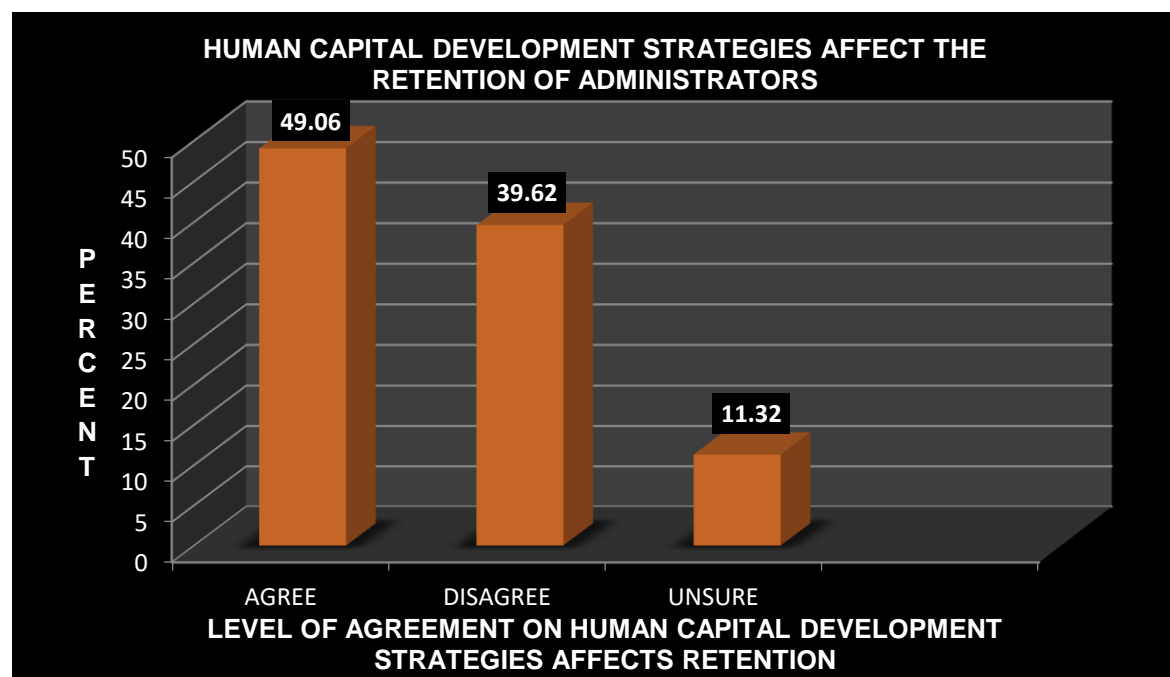


The number of sample respondents from the selected sample of DUT campuses that failed to provide information on human capital development influences succession planning opportunities totalled 12. The human capital in this context referred to, *inter alia*, training, development strategies, coaching and mentoring. A significant percentage of the sample respondents 74.5% as illustrated in Figure 5.16 agreed that

human capital development influences succession planning opportunities for administrative employees from selected campuses of DUT. Figure 5.16 also shows that a small percentage 7.5% of sample respondents disagreed with the statement that human capital development influences succession planning opportunities for administrators at DUT while 18% of the sample respondents were unsure.

5.3.18 HUMAN CAPITAL DEVELOPMENT AFFECT THE RETENTION OF ADMINISTRATIVE EMPLOYEES

FIGURE 5.17 HUMAN CAPITAL DEVELOPMENT AFFECT THE RETENTION OF ADMINISTRATORS (N = 159)

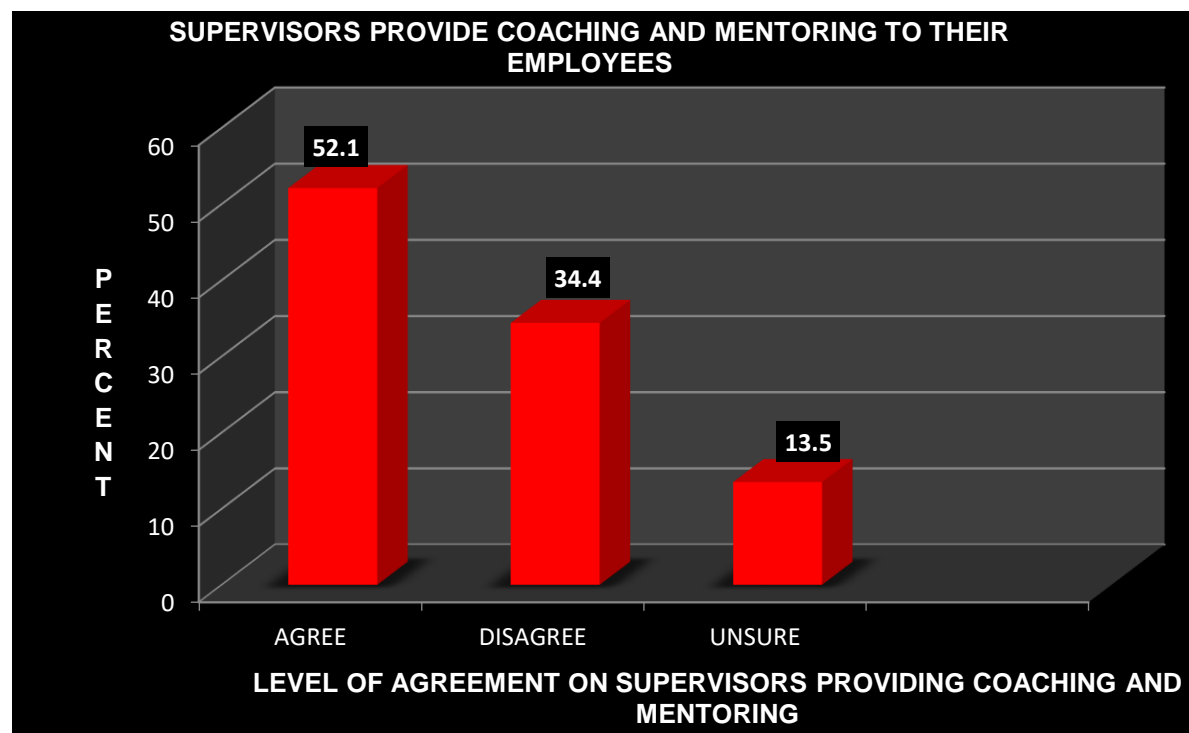


The number of sample respondents from the selected sample of DUT campuses that failed to provide information on human capital development affecting retention of administrative employees totalled 14. The human capital development in this context include: training, development strategies, coaching and mentoring. Figure 5.17 show that 49.06% of the sample respondents agreed that human capital development

strategies affected the retention of administrative employee. Figure 5.17 also illustrates that 39.62% of the sample respondents disagreed that human capital development strategies influenced the retention of administrative employees, while 11.32% of the sample respondents were unsure with this statement.

5.3.19 SUPERVISORS PROVIDE COACHING AND MENTORING TO THEIR EMPLOYEES

FIGURE 5.18 SUPERVISORS PROVIDE COACHING AND MENTORING TO THEIR EMPLOYEES (N = 163)

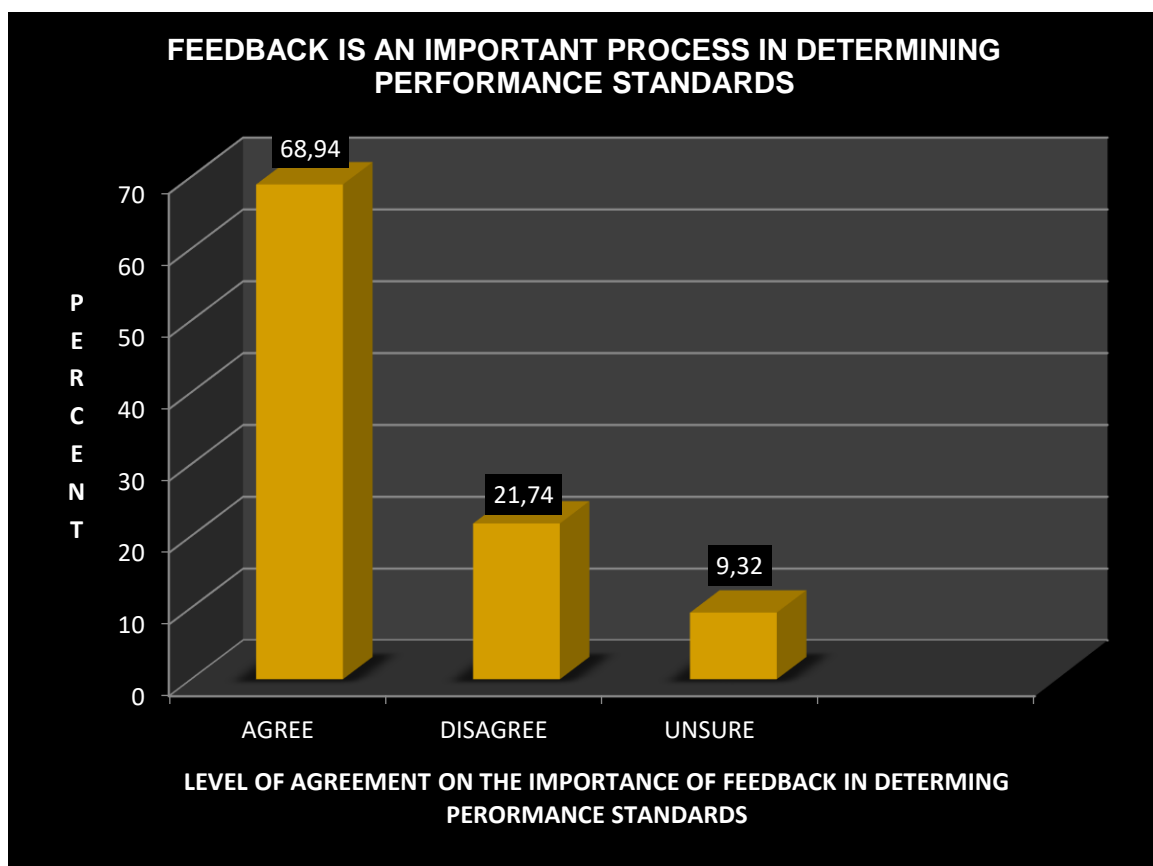


The number of sample respondents that did not answer the question regarding supervisors providing coaching and mentoring to their employees totalled 10. Figure 5.18 show that almost half of the sample respondents 52.1% agreed that supervisors provided them with coaching and mentoring to improve their performance. Figure 5.18 also reflects that 34.4% of the sample respondents disagreed that their supervisors

provided them with coaching and mentoring to improve their performance while 13.5% were unsure on the statement.

5.3.20 FEEDBACK IS AN IMPORTANT PROCESS IN DETERMINING PERFORMANCE STANDARDS OF ADMINISTRATIVE EMPLOYEES

FIGURE 5.19 FEEDBACK IS AN IMPORTANT PROCESS IN DETERMINING PERFORMANCE STANDARDS (N = 161)

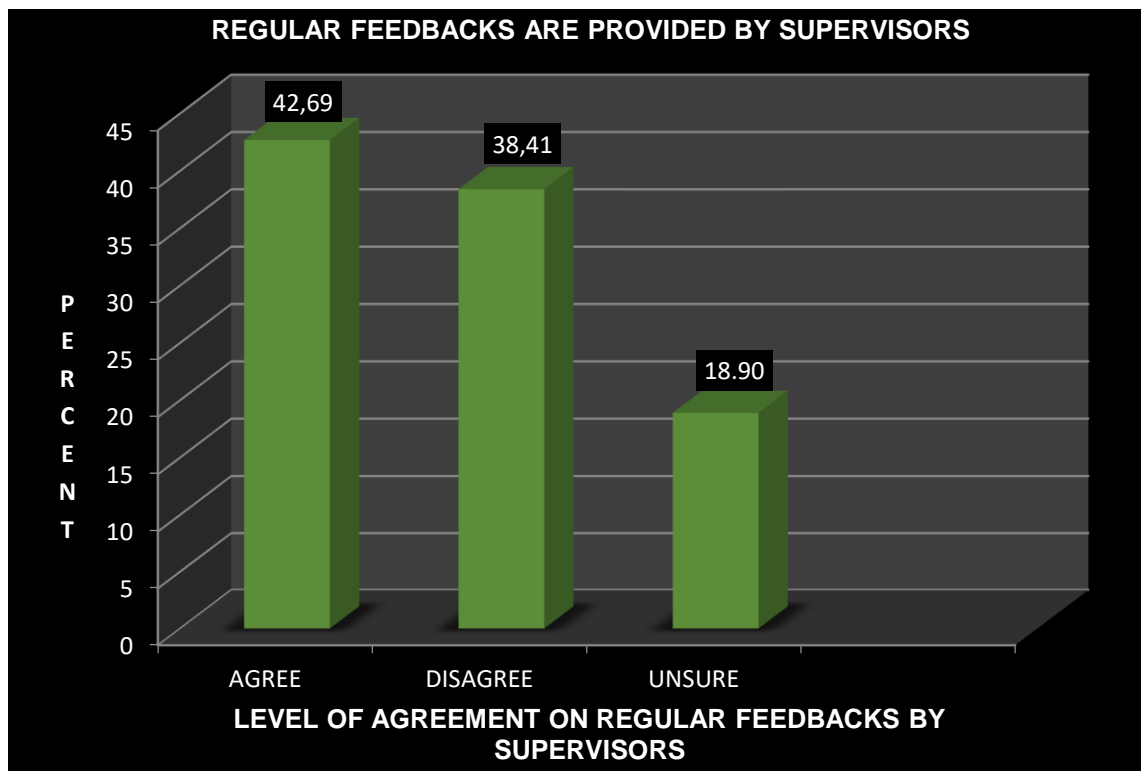


The number of sample respondents that did not provide information on the importance of feedback in determining performance standards in the context of human capital development totalled 12. Figure 5.19 shows that 68.94% of the sample respondents agreed that feedback is an important process in determining performance standards

of administrative employees of DUT. As depicted in Figure 5.19 a percentage of 21.74% of the sample respondents disagreed that feedback is an important process in determining performance standards of administrative employees while 9.32% was unsure on the importance of feedback on performance.

5.3.21 REGULAR FEEDBACK IS PROVIDED BY THE SUPERVISOR ON EMPLOYEE PERFORMANCE

**FIGURE 5.20 REGULAR FEEDBACKS IS PROVIDED BY SUPERVISORS
(N = 164)**

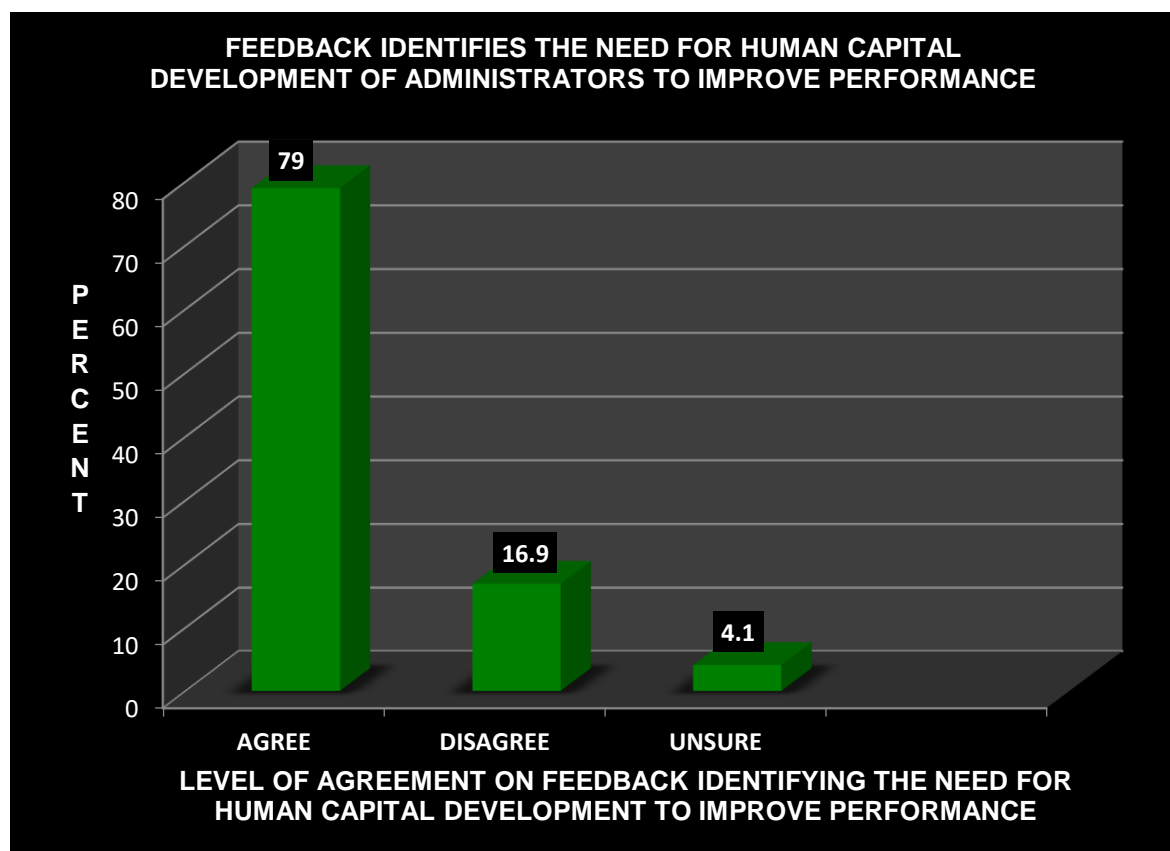


The number of sample respondents from the selected campuses of DUT that did not answer this question totalled nine. The bar graph in Figure 5.20 reveals that 42.69% of sample respondents from the selected campuses agreed that supervisors provided them with regular feedback. As illustrated in Figure 5.20 38.41% of the sample

respondent disagreed that there was regular feedback from their immediate supervisors while 18.90% were unsure on this statement.

5.3.22 FEEDBACK IDENTIFIES THE NEED FOR HUMAN CAPITAL DEVELOPMENT TO IMPROVE PERFORMANCE

FIGURE 5.21 FEEDBACK IDENTIFIES THE NEED FOR HUMAN CAPITAL DEVELOPMENT TO IMPROVE PERFORMANCE (N = 172)



Only 1 sample respondent from the selected campuses of DUT did not answer this question on feedback identifying human capital development needs for administrative employees. The human capital development in this context is referred to, *inter alia*, training, development strategies, mentoring and coaching. A majority of the sample respondents (79%) as illustrated in Figure 5.21 agreed that feedback assists in

identifying the need for human capital development to improve performance of administrators at DUT. A very small percentage of sample respondents (16.9%) as depicted in Figure 5.21 disagreed with this statement that feedback identifies the need for human capital development to improve performance while only (4.9%) of sample respondents were unsure on this statement.

5.3.23 MANAGEMENT IS COMMITTED TO IMPLEMENTING PERFORMANCE MANAGEMENT SYSTEMS FOR ADMINISTRATIVE EMPLOYEES

FIGURE 5.22 MANAGEMENT IS COMMITTED TO IMPLEMENTING PERFORMANCE MANAGEMENT SYSTEMS (N = 173)

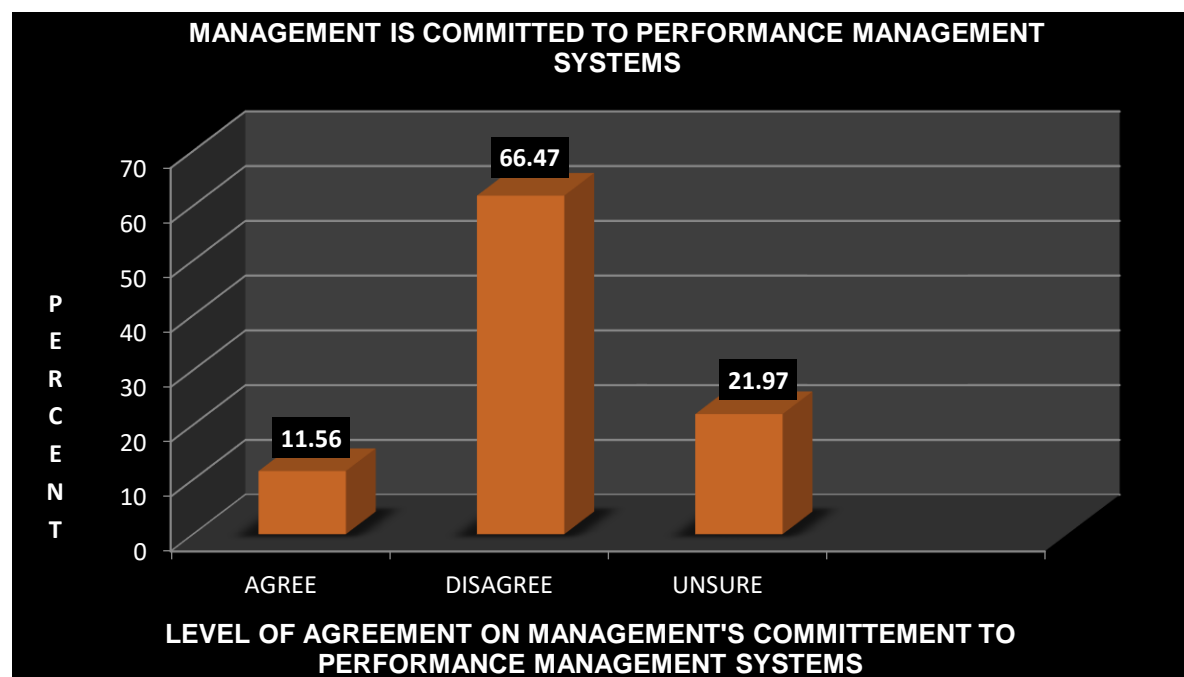
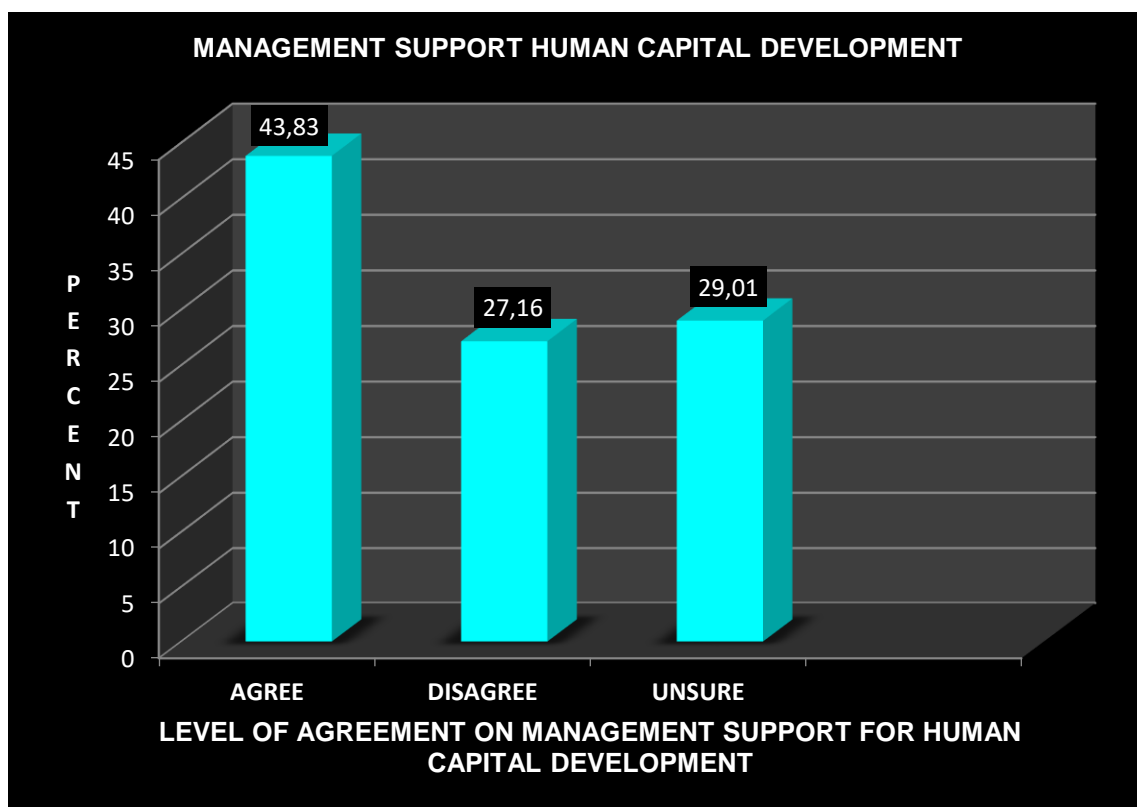


Figure 5.22 reflects that 66.47% of the sample respondents from selected campuses of DUT disagreed that management was committed to performance management systems, while 21.97% of the sample respondents remained unsure on this statement. Only a small percentage of the sample respondents from the selected campuses of DUT 11.56% as illustrated in Figure 5.22 agreed that management was committed to performance management systems of administrative employees.

5. 3.24 MANAGEMENT SUPPORTS HUMAN CAPITAL DEVELOPMENT FOR ADMINISTRATIVE EMPLOYEES

FIGURE 5.23 MANAGEMENT SUPPORTS HUMAN CAPITAL DEVELOPMENT (N = 162)



The number of sample respondents from the selected campuses that did not answer this question on management support for human capital development totalled 11. Figure 5.23 shows that 43.83% of the sample respondents agreed that management supported human capital development. Figure 5.23 depicts that 27.16% disagreed with this statement, while 29.01% of the sample respondents from the selected campuses of DUT was unsure on management's commitment to human capital development. These figures affirm that approximately 56.17% of sample respondents felt management was not supportive of human capital development of administrative employees.

5.4 THE PURPOSE OF INFERENTIAL STATISTICS

Shaughnessy & Zechmeister (1997:219) state that statistical inference is inductive and indirect. It is inductive because we draw general conclusions about the population on the basis of the specific samples we test in our experiments. Statistical inference is indirect because it begins by assuming the null hypothesis that is the independent variable has no effect. The following section used statistical tests to lend credibility to the study. The SPSS computer software version 24 for Windows was used to analyse the data using factor analysis, correlation analysis and Pearson's Chi-square statistical test. For the study, SPSS version 24 for Windows was used to determine the correlation between the independent and dependent variable. The tests were conducted at a 95% level of confidence. Thus, p should be < 0.05 or $p < 0.001$ for statistically significant relationships.

5.5 FACTOR ANALYSIS

According to Creswell, *et al.* (2016:242), factor analysis is used to examine the construct validity of the measuring instrument. The purpose of factor analysis is to determine which items belong together in the sense that they are answered similarly and therefore measures the same dimension or factor. Peri (2012:1) states that this multivariate statistical technique is used for three primary reasons:

- Reduce the number of variables from large to small;
- Establish underlying dimensions between measured variables and constructs;
and
- Provide construct validity.

Creswell *et al.* (2016:242) contend that a factor analysis performed on a set of items,

produces as its primary output a factor loading matrix. Fiel (2010:11) states that factor loading is the correlation between a variable and a factor that has been extracted from the data and these loadings are correlations between the items and factors. Large values are indicative of which items belong to which factor.

5.5.1 WAYS TO DETERMINE THE FACTORABILITY OF INTER-CORRELATION MATRIX

Kaiser-Meyer-Olkin (KMO) and the Bartlett's Test of Sphericity are the two tests that determine the factorability of an intercorrelation matrix. Cerny & Kaiser (1977:45) state that the KMO test is a measure of how suited the data is for factor analysis. The test measures sampling adequacy for each variable in the model. Cerny & Kaiser (1977:45) purport that the statistics is a measure of the proportion of the variance among the variables that might be common. The lower the proportion the more suited the data is for factor analysis. The KMO should be greater than 0.5. Peri (2012:3) asserts that the Bartlett's Test of Sphericity relates to the significance of the study and shows the validity and the suitability of the responses collected to the problem being addressed through the study. The Bartlett's Test should be less than 0.05. Factor analysis is done only for Likert scale items where certain components of the instrument are divided into finer components. This is explained in a rotated component matrix. Creswell *et al.* (2016:244) affirm that the primary objective of the rotated matrix is to provide an easier interpretation of the results that is more parsimonious. The KMO, Bartlett's tests and the Rotated Component Matrix for this study is presented below. The interpretation of the construct validity of the questionnaire is presented after the tables.

TABLE 5.2 ROTATED COMPONENT MATRIX: B6 PERFORMANCE MANAGEMENT ASSIST IN HUMAN CAPITAL DEVELOPMENT

	Component		
	P.I	P.E	P.W
Performance management is conducted annually.	-0.245	0.754	0.150
Performance management identifies my weaknesses when performing my job.	-0.031	-0.032	0.828
Performance management identifies weaknesses in employee's skills and abilities and make recommendations for employee development.	0.310	0.333	0.511
Employee and management participate in the performance management process.	-0.081	0.869	0.092
The institution conducts performance evaluation to determine the effects of the training and development programmes on their employees.	0.418	0.637	-0.188
The performance management process allows for high performers to be identified and developed at DUT.	0.632	0.030	0.269
Supervisors view performance management process as a waste of time which impacts on human capital development.	0.844	-0.186	0.085
When performance is not measured it affects identifying weaknesses in your job.	0.732	0.016	-0.115

- P.I (Performance Identification)
- P.E (Performance Evaluation)
- P.W (Performance Weakness)

TABLE 5.3 ROTATED COMPONENT MATRIX: B7 TRAINING IMPROVES PERFORMANCE

	Component		
	T.E	T.N.A	T.O
Training for administrative staff at DUT is conducted on a regular basis to improve performance.	0.789	-0.170	-0.092
Training improves your job performance.	0.137	0.269	0.778
Training is developed in line with your job.	0.626	0.487	0.171
Training and development will assist with promotional opportunities	0.421	0.215	0.124
Training and development is provided on a regular basis to improve performance.	0.578	-0.012	0.271
I am aware of the training programmes available to me.	0.178	0.737	-0.026
Training develops employees for senior positions in the department	-0.196	0.732	0.167
My supervisor supports me in meeting my training and development needs.	0.567	0.598	-0.018
Training and development of administrative staff will improve the effectiveness of DUT	0.087	-0.088	0.817

- T.E (Training Evaluation)
- T.N.A (Training needs and availability)
- T.O (Training outcome)

TABLE 5.4 ROTATED COMPONENT MATRIX: B8 COACHING AND MENTORING IMPROVES PERFORMANCE

	Component		
	E.C.M	C.M.O	S.C.M
Supervisors provide coaching and mentoring for career development opportunities for employees at DUT.	-0.209	0.073	0.764
Coaching and mentoring is a method that can assist employees for career development.	0.368	0.679	0.190
Coaching and mentoring of talented employees provide opportunities for succession planning.	0.227	0.848	0.232
Coaching provides upward mobility of employees at DUT.	-0.120	0.853	-0.106
My supervisor mentor's me to improve my performance	0.151	0.092	0.836
Coaching and mentoring improves employee performance.	0.666	0.076	0.125
Mentoring and coaching improves my knowledge on the job.	0.829	0.177	0.097
The success of mentoring and coaching depends on the mutual responsibility of the employee and the supervisor.	0.697	-0.051	-0.240

- E.C.M (Effectiveness of Coaching and Mentoring)
- C.M.O (Coaching and Mentoring Outcome)
- S.C.M (Supervisors provide Coaching and Mentoring)

TABLE 5.5 ROTATED COMPONENT MATRIX: B9 EFFECTIVE FEEDBACK ENHANCES PERFORMANCE

	Component		
	S.R.F	F.P	O.F
Feedback on my performance is provided by my supervisor.	0.506	0.277	0.209
My supervisor provides regular feedback on my performance.	0.818	-0.201	-0.058
My supervisor provides immediate feedback after I have completed a task	0.807	0.084	-0.011
My supervisors assist me in recommending training and development needs to improve my performance.	0.457	0.391	0.268
My training and development needs are regularly measured against my job performance.	0.081	0.265	0.646
Feedback highlights my weaknesses in a clear, concise and specific manner.	0.136	0.443	0.162
Effective feedback is necessary in identifying employee development needs.	-0.118	0.866	-0.076
I have received feedback on my performance in the last 5years	-0.002	-0.080	0.841

- S.R.F. (Supervisor Responsible for Feedback)
- F.P (Feedback on Performance)
- O.F (Outcome of Feedback)

**TABLE 5.6 ROTATED COMPONENT MATRIX: B10 EMPLOYEE DEVELOPMENT
DEPENDS ON MANAGEMENT COMMITMENT**

	Component		
	O.P.M	R.M1	R.M2
Management should be responsible for ensuring line managers conduct performance management of their employees	-0.134	0.239	0.554
Management supports programmes to develop and train administrative employees at DUT.	0.421	0.719	-0.017
Management encourages personal growth for their administrative employees at DUT.	0.211	-0.039	0.436
The institution provides development opportunities to administrative staff.	-0.234	0.810	0.004
Management assist employees in career development opportunities for their employees.	0.509	0.142	0.536
Management provides opportunities for succession planning.	0.888	0.130	-0.026
Management provides administrative staff the opportunity for job rotation as supervisors in their department.	0.857	-0.172	0.018

■ O.P.M (Opportunities Provides by Management)
 ■ R.M1 (Role of Management)
 ■ R.M2 (Responsibility of Management)

**TABLE 5.7 ROTATED COMPONENT MATRIX: B11 HUMAN CAPITAL
DEVELOPMENT IS LINKED TO STAFF RETENTION**

	Component	
	H.C.D.A.R	
Providing training and development assists DUT in retaining administrative staff.	0.632	
Coaching and mentoring increases employee retention.	0.897	
Training, development, mentoring and coaching improves employee stability at DUT.	0.862	
Providing training, development, mentoring and coaching creates positive attitudes of staff to remain at DUT.	0.922	
Management support for staff development will assist in staff retention.	0.818	

■ H.C.D.A.R (Human Capital Development Assist in Retention)

TABLE 5.8 ROTATED COMPONENT MATRIX: B12 GOAL SETTING IS ALIGNED TO PERFORMANCE MANAGEMENT SYSTEMS

	Component	
	G.L.P	S.G
My supervisor sets job targets to determine my performance standards.	0.389	0.416
Job goals are used to determine my performance	0.811	0.205
My performance on job goals can improve by human capital development methods.	0.823	0.188
Goals that are set are related to my job	0.874	-0.225
The goals that are set are clear, and understandable which improves my job performance.	0.665	-0.569
My work goals are ambiguous and unclear which affects my performance.	0.013	0.838

- G.L.P (Goals Linked to Performance)
- S.G (Setting Goals)

INTERPRETATION OF TABLES B6 – B12

The principle component analysis was used as the extraction method, and the rotation method was Varimax with Kaiser Normalisation. This is an orthogonal rotation method that minimises the number of variables that have high loadings on each factor. With reference to the above tables, the content of items loading at or above 0.5 effectively measured along the various components. The statements that constituted question B11 loaded perfectly along a single component. This implies that the statements that constituted this section perfectly measured what it set out to measure. The variables that constituted the remaining questions (Tables B6, B7, B8, B9, B10, B12) loaded along 2 or 3 components. This means that the respondents identified different trends within this section. Table 5.9 reflects the Kaiser-Meyer-Olkin and the Bartlett's Test of Sphericity which determines the factorability of an inter-correlation matrix. Hence, each component that constituted the questionnaire (B6-B12) positively measured the construct validity of the measuring instrument.

TABLE 5.9 KAISER-MEYER-OLKIN AND THE BARTLETT'S TEST

		Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	Bartlett's Sphericity Approx. Chi-Square	Test df	of Sig.
B6	Performance management assist in human capital development	0.529	273.593	28	0.000
B7	The need for training and development in respect of human capital development	0.610	314.702	36	0.000
B8	Coaching and mentoring with regards to career development are aligned to human capital development	0.570	505.032	36	0.000
B9	Effective feedback enhances performance of administrative employees	0.631	128.201	28	0.000
B10	Employee development depends on management commitment to human capital development	0.578	217.086	28	0.000
B11	Human capital development is linked to staff retention of administrative employee	0.833	564.548	10	0.000
B12	Goal setting aligned to performance management systems	0.694	345.125	15	0.000

Table 5.9 is a composite table representing the factorability for all the conditions (Tables B6, B7, B8,B9, B10, B11and B12) Table 5.9 shows that all conditions for factor analysis was satisfied because all the factors according to the KMO Measure of Sampling Adequacy value is greater than 0.500. and the Bartlett's Test of Sphericity is less than 0.05.

5.6 CORRELATION ANALYSIS

According to Willemse (2004:85) correlation analysis is used to describe the degree of strength by which one variable is related to another. This type of analysis is used to determine:

- Whether there is a relationship between the variables.
- How good is the relationship?

- How the relationship can be used to make estimates?

Harris (1995:139) states that in order to study the relationship between two variables, it is necessary to consider the distribution of scores of the two variables, which is sometimes called a bivariate distribution. A correlation study also indicates whether each of the factors promotes a positive or negative correlation. Harris (1995:160) asserts that a positive correlation indicates that low scores on one variable tend to be paired with low scores on the other variable and, conversely, high scores on one variable is associated with high scores on the other (positive values indicate a directly proportional relationship between the variables). Huysamen (1998:67) states that in case of a negative relation, the picture is reversed. This indicates that relatively high scores on the one variable occurs jointly with relatively low scores on the other variable, and relatively low scores on the former with relatively high scores on the latter (negative value indicates an inverse relationship). According to Bless & Higson-Smith (1995:46), the purpose of correlational analysis is often used to detect the existence of the relationship between variables, which suggest the possible base for causality. Correlation analysis was performed on the ordinal data and SPSS version 24 for Windows was used to determine the bivariate correlation analysis related to the study.

TABLE 5.10 ANALYSIS 1: REGULAR TRAINING AND DEVELOPMENT IMPROVES PERFORMANCE

ANALYSIS 1
The correlation value between training and development showed that regularly training improves job performance is 0.187 .
<p>INTERPRETATION:</p> <p>Respondents indicated that by providing employees with regular training and development job performance improves.</p>

TABLE 5.11 ANALYSIS 2: EMPLOYEE DEVELOPMENT IMPROVES PERFORMANCE STANDARDS

ANALYSIS 2	
The correlation value between employee development and performance standards is 0,136 .	
<p>INTERPRETATION:</p> <p>Respondents indicated that by providing employee development the more likely the performance standards of administrative employees would be reached.</p>	

TABLE 5.12 ANALYSIS 3: MENTORING AND COACHING IMPROVES PERFORMANCE

ANALYSIS 3	
The correlation value between performance management systems identifying employee weaknesses and mentoring and coaching improving employees performance on the job is 0,164 .	
<p>INTERPRETATION:</p> <p>The respondents indicated that by performance management identifying employee weaknesses, the more likely mentoring and coaching can improve the performance of administrative employees.</p>	

TABLE 5.13 ANALYSIS 4: CONDUCTING PERFORMANCE MANAGEMENT ANNUALLY IMPROVES PERFORMANCE

ANALYSIS 4
The correlation value between conducting performance management annually and improving employee performance is 0.241 .
<p>INTERPRETATION:</p> <p>Respondents indicated that by conducting performance management annually it is more likely that recommendations will be made for employee development.</p>

TABLE 5.14 ANALYSIS 5: MENTORING AND COACHING PROVIDES OPPORTUNITIES FOR CAREER DEVELOPMENT

ANALYSIS 5
The correlation value between supervisors support and providing mentoring and coaching for senior positions is 0.250 .
<p>INTERPRETATION:</p> <p>Respondents indicated that the more support they received from their supervisors on mentoring and coaching the better the opportunity of administrative employees in obtaining senior positions.</p>

TABLE 5.15 ANALYSIS 6 PERFORMANCE MANAGEMENT SYSTEMS PROVIDES OPPORTUNITIES FOR SUCCESSION PLANNING

ANAYSIS 6
The correlation value between implementing performance management and succession planning is 0.366 .
<p>INTERPRETATION:</p> <p>Respondents indicated that by implementing performance management system the better the opportunity in identifying talented and high performing employees for succession planning opportunities.</p>

TABLE 5.16 ANALYSIS 7: SUPERVISOR COMMITMENT TO PERFORMANCE MANAGEMENT IMPROVES HUMAN CAPITAL DEVELOPMENT

ANALYSIS 7
The correlation value between supervisor's view that performance management is a waste of time and human capital development is -0.202 .
<p>INTERPRETATION:</p> <p>The more supervisors view performance management system as being a waste of time, the less likely the implementation of development methods to improve performance.</p>

TABLE 5.17 ANALYSIS 8: EFFECTIVE FEEDBACK IDENTIFIES THE NEED FOR HUMAN CAPITAL DEVELOPMENT

ANALYSIS 8
The correlation value between effective feedback and identifying employee developmental needs is -0.071 .
<p>INTERPRETATION:</p> <p>The absence of feedback on employee performance is less likely to identify employee developmental needs which are necessary for improving performance.</p>

TABLE 5.18 ANALYSIS 9: TRAINING AND DEVELOPMENT IMPACTS ON EMPLOYEE RETENTION

ANALYSIS 9
The correlation value between providing training and development and retention of administrative employees 0,202 .
<p>INTERPRETATION:</p> <p>Respondents indicated that by providing training and development to employees the more likely the chances of low labour turnover and high retention of administrative employee</p>

**TABLE 5.19 ANALYSIS 10: MANAGEMENT COMMITMENT INFLUENCES
EMPLOYEE AND SUPERVISOR COMMITMENT
THE PROCESS**

ANALYSIS 10
<p>The correlation value between management commitment in implementing performance management systems and employee and supervisor participation in the performance management process is 0,252.</p>
<p>INTERPRETATION:</p> <p>Respondents indicated that with commitment from management in implementing performance management systems the more likely employees and supervisors will participate and buy-in to the process.</p>

5.7 HYPOTHESIS TESTING

According to Kumar (2014:99) hypotheses brings clarity, specificity and focus to a research problem. Byrnard, *et al.* (2015:23) state that a hypothesis can also be interpreted as a relationship between two variables. Creswell, *et al.* (2016:225) affirm that hypothesis testing is a process that starts with the research having certain ideas or beliefs about the properties of some of the study variables in the population. Creswell, *et al.* (2016:225) further assert that these ideas are then tested for their credibility based on the data obtained from the sample. Willemse (2004:161) concurs that a hypothesis is a claim about a population characteristic and the purpose of this type of inference is to determine whether enough statistical evidence exists to enable the researcher to conclude that a belief or hypothesis about a parameter is reasonable. Goddard & Melville (1996:69) affirm that the formulation of hypotheses is a fundamental principle in the scientific method and the purpose of a hypothesis is to

predict a relationship between variables that can be tested. The hypothesis once formulated can be accepted or rejected on the basis of the statistical test. The conventional approach to report results requires a statement of statistical significance. A p-value is generated from a test statistic. A significant result is indicated with $p < 0.05$. The Pearson's Chi-square was performed for the hypothesis formulated to determine whether there was any statistically significant relationship between the variables in the exploratory human capital development model aligned to performance management. According to Harris (1995:356), Chi-square is used to test the null hypothesis and the frequencies or numbers that has been hypothesised is based on some theory or data. Such a hypothesis might be worded in terms of proportions or percentages, but the actual χ^2 test is conducted using the numbers that are observed to fall into various categories and the numbers that would be expected to fall into these categories if the null hypothesis is true (Harris, 1995:356). The null hypothesis maintains that there is no difference between the expected frequencies for the options per statement within each category.

H₁ There is a significant relationship between human capital development interventions and performance of administrative employees.

TABLE 5.20 PROVIDING HUMAN CAPITAL INTERVENTION METHODS IMPROVES PERFORMANCE OF ADMINISTRATIVE EMPLOYEES (n = 164)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	72.139 ^a	16	0.000
Likelihood Ratio	74.977	16	0.000
Linear-by-Linear Association	3.747	1	0.053
N of Valid Cases	164		

*Pearson's Chi-Square = 72,139, df = 16 Significance $p < 0.001$

Table 5.20 shows that 164 of the sample respondents from the selected campuses answered this question. The number of respondents that did not answer this question was 9. Table 5.20 indicates that the Pearson's Chi-Square test value ($p < 0,001$) is highly significant. Ingram & McDonnell (2006:39) state that more emphasis is placed on developing the skills of employees in order to make them more productive to the institution. Rompho & Siengthai (2012:483) affirm that human capital development is a combination of knowledge, skills, innovation and the ability of each employee to meet the task at hand. The human capital development model highlights training and development, mentoring and coaching as the human capital methods that can be implemented to improve the performance of administrative employees.

H₂ There is significant correlation between providing regular training and development and performance of administrative employees

TABLE 5.21 PROVIDING REGULAR TRAINING AND DEVELOPMENT AND IMPROVING PERFORMANCE OF ADMINISTRATIVE EMPLOYEES (n = 173)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	51.170 ^a	9	0.000
Likelihood Ratio	45.044	9	0.000
Linear-by-Linear Association	5.265 ^c	1	0.022
N of Valid Cases	173		

*Pearson's ChiSquare = 51.170, df = 9, Significance $p < 0.001$

Table 5.21 indicates that 173 sample respondents from the selected campuses answered this question. All the sample respondents from the selected campuses answered this question. Table 5.21 shows that Pearson's Chi-Square test results ($p < 0.001$) is significant. Jehanzeb & Bashir (2013:244) state that training and development programmes are provided to employees for the improvement of their

skills and abilities. Furthermore, Jehanzeb & Bashir (2013:244) attest that employees will be more effective in their performance if training is provided on a regular basis. Institutions should also timeously evaluate the success of the training and development programmes. Kearney (2004:24) affirms that there has been an enormous demand for training which will reinforce the best assets of higher education – its academic and administrative staff. Hence, human resources development extends across management training for all levels of personnel.

H₃ There is a significant relationship between coaching and mentoring and performance of administrative employees.

TABLE 5.22 COACHING AND MENTORING IMPROVES THE PERFORMANCE OF ADMINISTRATIVE EMPLOYEES (n = 163)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	72.139 ^a	16	0.000
Likelihood Ratio	74.977	16	0.000
Linear-by-Linear Association	3.747	1	0.053
N of Valid Cases	163		

*Pearson's Chi-Square = 72.139, df = 16, Significance $p < 0.001$

Table 5.22 reveals that 163 sample respondents from the selected campuses answered this question. The number of sample respondents from the selected campuses that did not answer this question totalled 10. Table 5.22 shows that the Pearson's Chi-Square test results ($p < 0.001$) is significant. The purpose of the human capital model is to use coaching and mentoring as a human capital development intervention to improve performance. Vodák (2009:180) confirms that coaching and mentoring can result in improved performance, satisfaction with work and higher

motivation. Wong & Snell (2003:58) affirm that mentoring and coaching can boost self-esteem and self-efficacy, thus contributing to efficiency and improved performance.

H₄ There is a significant correlation between coaching and mentoring and career development of administrative employees

TABLE 5.23 COACHING AND MENTORING AND CAREER DEVELOPMENT OF ADMINISTRATIVE EMPLOYEES (n = 167)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	115.481 ^a	12	0.000
Likelihood Ratio	105.392	12	0.000
Linear-by-Linear Association	18.707 ^b	1	0.000
N of Valid Cases	167		

*Pearson's Chi-Square = 115,481, df = 12, Significance = $p < 0.001$

Table 5.23 indicates that 167 sample respondents from the selected campuses answered this question. The number of sample respondents from the selected campuses that did not answer this question totalled 6. Table 5.23 shows that the Pearson's Chi-Square test results ($p < 0.001$) is significant. Gibbs (1994:34) confirms that mentoring and coaching can influence the development of an employee's career. Vodák (2009:181) states that mentoring and coaching at higher education institutions provides opportunities for personal development by assisting employees with self-management and development relationships to achieve personal and career goals. Wan (2007:316) warns that mentoring and coaching should be taken seriously as it has an important role to play in the career development of employees. The human capital development exploratory model identifies mentoring and coaching as a development technique that can be used to improve employee performance and assist in the upward mobility of the employee.

H₅ There is a significant relationship between supervisor support and meeting training and development needs of administrative employees.

TABLE 5.24 SUPERVISOR SUPPORT AND MEETING TRAINING AND DEVELOPMENT NEEDS OF ADMINISTRATIVE EMPLOYEES (n = 169)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	16.054 ^a	12	0.189
Likelihood Ratio	18.279	12	0.107
Linear-by-Linear Association	6.043 ^b	1	0.014
N of Valid Cases	169		

*Pearsons's Chi-Square = 16.054, df = 12, Significance = 0.189

Table 5.24 reveals that 169 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 4. Table 5.24 shows that the Pearson's Chi-Square test result ($p < 0.05$) is significant. Wan (2007:315) affirms that managers need to provide assistance to help and support their employees identify job-related training and development needs. For the human capital development model to be effective in improving performance it needs to be supported by all the stakeholders including the employee's immediate supervisor for their guidance and assistance in the identification of human capital development needs.

H₆ There is a significant correlation between goal attainment and performance management of administrative employees.

TABLE 5.25 GOAL ATTAINMENT AND PERFORMANCE MANAGEMENT OF ADMINISTRATIVE EMPLOYEES (n = 173)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	269.279 ^a	16	0.000
Likelihood Ratio	170.085	16	0.000
Linear-by-Linear Association	59.178 ^c	1	0.000
N of Valid Cases	173		

*Pearsons's Chi-Square = 269.279, df = 16, Significance $p < 0.001$

Table 5.25 reveals that 173 sample respondents from the selected campuses answered this question. All the sample respondents answered this question. Table 5.25 shows that the Pearson's Chi-Square test result ($p < 0.001$) is highly significant. Verbeeten (2008:432) found that the definition of clear and measurable goals is positively associated with quantity and quality performance. Manz (1992:1128) confirm that goal clarity and goal attainment has shown to contribute to high levels of motivation to achieve managed performance. Thus, setting goals and targets is crucial in determining the employee's performance levels and establishing human capital development needs to improve their performance.

H₇ There is a significant relationship between human capital development interventions and succession opportunities for administrative employees.

TABLE 5.26 HUMAN CAPITAL DEVELOPMENT INTERVENTIONS AND SUCCESSION OPPORTUNITIES FOR ADMINISTRATIVE EMPLOYEES (n = 167)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	183.675 ^a	12	0.000
Likelihood Ratio	186.546	12	0.000
Linear-by-Linear Association	71.015 ^b	1	0.000
N of Valid Cases	167		

*Pearson's Chi-Square = 183.675, df = 12, Significance $p < 0,001$

Table 5.26 reveals that 167 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 6. Table 5.26 shows that the Pearson's Chi-Square test result ($p < 0.001$) is significant. Hill (2009:2) states the use of coaching, mentoring, training and formal learning is an inevitable outcome for institutions to manage its talent pool. Hence employees will not only develop their skills relevant to their job but the capability to embrace different and better positions (Hill, 2009:6). Effective human capital development strives towards activities that advance employee's competencies so they have the skill to assume higher positions within the institution. The human capital development model makes provisions for succession planning as a positive outcome for talented and high performing employees. This will strengthen motivation and increase the levels of job satisfaction of administrative employees.

H₈ There is a significant relationship between human capital development interventions and retention of administrative employees

TABLE 5.27 HUMAN CAPITAL DEVELOPMENT INTERVENTIONS AND RETENTION OF ADMINISTRATIVE EMPLOYEES (n = 159)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	69.412 ^a	12	0.000
Likelihood Ratio	58.872	12	0.000
Linear-by-Linear Association	45.985 ^c	1	0.000
N of Valid Cases	159		

*Pearson's Chi-Square = 69.412, df = 12, Significance $p < 0.001$

Table 5.27 reveals that 159 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 14. Table 5.27 shows that the Pearson's Chi-Square test result ($p < 0.001$) is significant. Wagner (2000:64) attests that providing human capital development for employees has proven to achieve high levels of employee satisfaction and low employee turnover. Leonard (2004:24) states that to retain employees, institutions need to think seriously about their investments in human capital development programmes. The purpose of the human capital development exploratory model is to retain skilled and high performing administrators. Reddick (1994:38) confirms that on-the-job-training, development, coaching and mentoring should be facilitated for staff development programmes in higher education. Effective human capital development can significantly assist in the retention of the most valued human resource.

H₉ There is a significant correlation between performance and career development of administrative employees

TABLE 5.28 PERFORMANCE MANAGEMENT AND CAREER DEVELOPMENT OF ADMINISTRATIVE EMPLOYEES (n = 171)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	40.433 ^a	12	0.000
Likelihood Ratio	43.215	12	0.000
Linear-by-Linear Association	.868 ^c	1	0.351
N of Valid Cases	171		

Pearson's Chi-Square = 40.433, df = 12, Significance $p < 0.001$

Table 5.28 reveals that 171 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 2. Table 5.28 shows that the Pearson's Chi-Square test result ($p < 0.001$) is highly significant. Zheng & Kliener (2001:35) postulate that career development in an institution provides for future orientation to human resources activities. As employees grow and change, the type of work they want to do also changes. Supervisors can prepare employees to be effective when they take on new positions by providing continuous performance management. Career development of employees can enhance their performance and have a positive impact on an organisation's effectiveness. By training and development, coaching and mentoring, the human capital development exploratory model will be able to allow employees the opportunity to enhance their knowledge, skills and abilities necessary to perform jobs beyond the minimum level.

H₁₀ There is a significant relationship between providing regular feedback and performance

TABLE 5.29 PROVIDING REGULAR FEEDBACK AND PERFORMANCE OF ADMINISTRATIVE EMPLOYEE (n = 161)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	87.717 ^a	16	0.000
Likelihood Ratio	80.411	16	0.000
Linear-by-Linear Association	9.051	1	0.003
N of Valid Cases	161		

*Pearson's Chi-Square = 87.717, df = 16, Significance $p < 0.001$

Table 5.29 reveals that 161 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 12. Table 5.29 shows that the Pearson's Chi-Square test result ($p < 0.001$) is significant. Ghosh & Das (2015:18) contend that communication and reporting of performance and feedback on an on-going basis is essential. The human capital development exploratory model provides information to the employee on their performance and progress and on what is required to continue to perform well in the future. Feedback can determine whether the employee would require, mentoring and coaching and improve their skills by training and development.

H₁₁ There is a significant relationship between effective supervisory evaluation and performance

**TABLE 5.30 EFFECTIVE SUPERVISORY EVALUATION AND PERFORMANCE
(n = 164)**

	Value	df	Asymptotic Significance (2-sided)
Pearson Chi-Square	50.551 ^a	16	0.000
Likelihood Ratio	40.284	16	0.001
Linear-by-Linear Association	6.722	1	0.010
N of Valid Cases	164		

*Pearson's Chi-Square = 50.551, df = 16, Significance $p < 0.001$

Table 5.30 reveals that 164 sample respondents from the selected campuses answered this question. The number of sample respondents that did not answer this question totalled 9. Table 5.30 shows that the Pearson's Chi-Square test result ($p < 0.001$) is significant. Wong & Snell (2003:57) affirm that it is necessary for there to be a systematic and balanced diagnosis of strengths and weaknesses. Performance management have traditionally assumed a deficiency oriented model focusing on deviations from performance goals and standards. There has been the tendency among supervisors to concentrate more on poor performance, while neglecting positive contributions of a less tangible nature. Decramer, *et al.* (2013:356) confirm that line managers are encouraged to establish a two-way communication system, identify needs desires and expectations of employees, assist in achieving their goals; recognise achievement and give feedback. The role of the supervisor is pivotal in the exploratory model in reviewing work samples to find both strength and areas that need improvement.

H₁₂ There is a significant relationship between management commitment to human capital development and performance management..

TABLE 5.31 MANAGEMENT COMMITMENT TO HUMAN CAPITAL DEVELOPMENT AND PERFORMANCE MANAGEMENT (n = 173)

	Value	Df	Asymptotic Significance (2-sided)
Pearson Chi-Square	35.247 ^a	16	0.004
Likelihood Ratio	40.369	16	0.001
Linear-by-Linear Association	.209 ^c	1	0.647
N of Valid Cases	173		

*Pearson's Chi-Square = 35.247, df = 16, $p < 0.004$

Table 5.31 reveals that 173 sample respondents from the selected campuses answered this question. All the sample respondents from the selected campuses answered this question. Table 5.31 shows that the Pearson's Chi-Square test result ($p < 0.05$) is highly significant. Ghosh & Das (2015:20) confirm that clear agreement at top management on the strategy, goal, measurement and the performance targets to be implemented is crucial for the effective implementation of performance management at higher education institutions. Management commitment will warrant commitment from all relevant stakeholders involved in the performance management process. Moreover, to ensure improved performance, top management also needs to commit to human capital development, which will allow for the combination of knowledge, skills, innovation and the ability of each employee to meet the task at hand (Rompho & Siengthai, 2012:483). It is suggested that the current human capital development model may prove useful in the absence of any other human capital development interventions to improve performance and top management should assess its benefits for possible implementation.

5.8 LIMITATIONS OF THE STUDY

The study was confined to the DUT and data was only gathered from administrative employees. Thus, the findings of the study are only relevant to the administrative employees at the DUT and therefore does not allow for generalisations to other institutions as situational factors may be different. Furthermore, questionnaires were mailed to 254 sample respondents and 176 out of the 254 sample respondents returned the questionnaire. However, it was found that three respondents did not answer most of the questions and these questionnaires were omitted from the analysis. From the remaining 173 questionnaires, some of the respondents left one or two questions blank. As a result only data obtained from the respondents who answered the questions was used to calculate the statistics. There was a lot of literature that focused on performance management and human capital development of academic employees however, literature on performance management and human capital development of administrative employees at higher institution was limited.

5.9 CONCLUSION

This chapter presented the results of the empirical analysis of the study. The data was analysed and interpreted from the questionnaires. The descriptive statistics that was presented using tables and graphs was contained in the first part of the chapter. Factor analysis, correlation analysis and Pearson's Chi-Square was used to compute the statistical analysis. Kaiser-Meyer-Olkin and the Bartlett's Test of Sphericity were used to determine the factorability of an inter-correlation matrix. The contents of items loading at or above 0.5 effectively measured factor analysis because all the factors KMO Measure of Sampling Adequacy value were greater than 0.500, and the Bartlett's Test of Sphericity was less than 0.05. Correlation analysis was used to determine the relationship between variables from the study. Correlation analysis was conducted on ordinal data to determine whether each of the factors promote a positive or negative correlation. Of the 10 correlation analyses conducted, 8 showed a positive correlation while 2 indicated negative a correlation of -0.071 and -0.202. Pearson's Chi-Square was used to test hypotheses that were developed to determine whether there was any significant correlation between the variables in the exploratory human capital development model. All the hypotheses were accepted at the 95% level of confidence and the p value using Pearson's Chi-Square was less than 0.05. The results identified significant relationships between the variables. Arising from the empirical analysis of data the next chapter presents the conclusion and recommendations.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter presents an overview of the study and focuses on conclusions derived from the study. The research methodology adopted the quantitative research design. The study proposed to develop an exploratory human capital development model for administrative employees at the Durban University of Technology. A pre-coded closed-ended questionnaire using the Likert scale was sent to the sample (254) identified from the target population of 753 administrative employees from the DUT. However, only 176 out of the 254 respondents returned the questionnaire. Of the 176 returned questionnaires, 3 questionnaires were discarded as the respondents did not answer the majority of the questions. The response rate for this study was therefore 68.1% (173 out of 254). This was considered to be significant for meaningful analysis of results. The data collected from the responses were analysed with the Statistical Package for the Social Sciences (SPSS) version 24 for Windows. There were many significant findings that arose from the empirical analysis of data.

Chapter six presents an overview of the study and focuses on providing conclusions derived from the study. The chapter also offers recommendations to the DUT for future performance management and human capital development implementation.

6.2 CONCLUSION

The main purpose of the study was to develop an exploratory Human Capital Development model aligned to Performance Management for administrative employees at the DUT. The Statistical Package for the Social Sciences (SPSS version 24.0 for Windows) was used to test the variables that formulated the exploratory model. The study showed that 99.4% of the respondents were not subjected to performance evaluation. The results also found that 70.1% of the respondents agreed that human capital development will improve their performance. The human capital development model aligned to performance management (Figure 4.1) may prove beneficial to the institution and can tentatively serve as a strategic intervention in implementing human capital development programmes and improve performance. Performance management is the focal starting point of the exploratory model. Ghosh & Das (2015:17) focused on the preparation before conducting a performance management process and the follow-up after the process. A breakdown in any one of these areas will decrease the effectiveness of the performance management process. The exploratory human capital development model aligned to performance management provides a broad framework based on top management commitment, training and development, mentoring and coaching and feedback that can be used to improve and develop performance. Furthermore, the exploratory human capital development model is based on the premise that performance management does not only evaluate employee performance but also achieves institutional effectiveness by improving employee performance, employee engagement and employee retention. Based on the empirical analysis of data, some important recommendations are indicated below.

6.3 RECOMMENDATIONS

Arising from the empirical analysis of the findings, the following tentative recommendations are suggested.

6.3.1 EMPLOYEE DEVELOPMENT IMPROVES EMPLOYEE PERFORMANCE

Managers should develop means of assessing how effective employee development has been in improving performance. It is recommended that managers undertake a post-development performance evaluation to determine the effectiveness of the developmental programmes implemented to improve performance since the empirical analysis indicated that 70.1% of the respondents believed that human capital development improved performance. Mahmood & Joma (2015:133) state that since staff expertise cannot be developed over a short period it is recommended that long-term development programmes be implemented. Programmes that may have any shortcomings should be reviewed and adjustments made. Furthermore, managers should review the development programmes annually to cater for any changes.

6.3.2 REVIEWING PERFORMANCE AND STAFF DEVELOPMENT

Reviewing performance provides a focal point for the consideration of key performance and development issues. Meyer & Kirsten (2011:67) affirm that an important component of the reviewing process is to formulate development plans that focuses on competencies needed to achieve performance goals of the individual and the department. The empirical analysis indicated that 79% of the respondents agreed that performance assists in identifying the need for human capital development to improve performance. It is recommended that institutional heads ensure that all staff

employed in their institution receives appropriate advice towards identifying developmental needs. It is also proposed that key behaviours be described in the performance plan as this may not only set expectations but assist in evaluating performance. It is further suggested that supervisors set up regular performance review meetings to assist employees to identify any deficiencies in their performance and make recommendations for development programmes to develop and improve the employee's performance.

6.3.3 COMMITMENT BY TOP MANAGEMENT

Mankin (2012:630) states that one of the main reasons why performance management fail is managers and management are not interested. Seotlela & Miruka (2014:180) concur that it is utterly useless to have a well-designed performance management system without the commitment from the management team. It is therefore recommended that top management buy-in to performance management so that their leadership can encourage line managers to take a sense of ownership of the process since the empirical analysis indicated that 66.47% of respondents felt that top management was not commitment to performance management. It is further recommended that top management stress the importance they attach to performance management and involving line managers in the development and introduction of performance management which is crucial for its success. The effectiveness of the human capital development models depends on the commitment of top management and line managers.

6.3.4 TRAINING AND DEVELOPMENT IMPROVES PERFORMANCE

Lee & Paek (2010:4) state that training and development programmes are provided to employees for skill development. Wan (2007:318) purports that employees like to have equal access to job-related training opportunities that will help them improve their

skills and enhance their development and growth. The empirical analysis indicated that 76.5% of the employees agreed that training and development improved their performance. It is recommended that supervisors recognise their responsibility in providing work-based on-the-job-training as this was viewed as the most suitable development option in improving employee performance. It is further recommended that the training and development programme be evaluated to determine the effectiveness of the training programme on performance. The human capital development model can be used as a frame of reference on how to deal with both positive and negative results of the training programmes.

6.3.5 COACHING AND MENTORING IMPROVES PERFORMANCE

Employee development is a key contributor to the success of individuals and ultimately to the success of the higher education institution. Hill (2002:147) affirms that the primary function of mentoring and coaching is to develop the individual's learning capacity. With the implementation of mentoring and coaching, Knippelmeyer & Torraco (2007:5) state that higher education institutions may notice an increase in commitment and productivity and a decrease in turnover among employees. Hence, it is recommended that the institution considers mentoring and coaching as part of the institution's strategy to improve employee performance since the empirical analysis indicated that 53.1% of the employees agreed that mentoring and coaching improved performance. If the mentoring and coaching programmes are implemented effectively it can be beneficial to the employee and the institution in the form of succession planning, career development, employee retention and institutional effectiveness.

6.3.6 HUMAN CAPITAL DEVELOPMENT INFLUENCES SUCCESSION PLANNING AND CAREER ADVANCEMENT OPPORTUNITIES

Abdullah, Samah, Jusoff & Isa (2009: 131) state that succession planning for institutions of higher education engages, develops and retains talent for critical roles,

thus, creating effectiveness and efficiency and enhancing institutional credibility. It is recommended that the institution develop a succession planning policy since the empirical analysis indicated that 74.5% of the employees agreed that human capital development influences succession planning opportunities. The establishment of a succession plan will help nurture and strengthen the high performance culture at the institution. If successfully implemented, a succession management plan will ensure that the institution will be able to retain and develop their current employees. Croteau & Wolk (2010:61) state that developing career paths inevitably leads to succession planning. These two strategies go hand-in-hand. Developing career paths and being proactive about succession planning are two critical strategies in retaining talented employees. Thus, it is further recommended that the institution needs to invest in a long-term human capital development programme since the empirical analysis indicated that 87.7% of the employees agreed that human capital development positively influenced upward mobility of talented and high performing employees.

6.4 PERFORMANCE MANAGEMENT SYSTEM AND HUMAN CAPITAL DEVELOPMENT POLICY AT THE DUT

The Durban University of Technology currently has a Performance Management System Resource Guide (Appendix D), Performance Management System Policy (Appendix E), Staff Development Policy (Appendix F) and a Draft Performance Management and Development Policy (Appendix G). Although the DUT has documentation and policies in place, based on the empirical analysis, 99.4% of the the sample respondents indicated that they were not subjected to a performance evaluation. This reflects that although DUT has a performance management system it has not been implemented. The study also showed that 61.85% of the sample respondents agreed that management is not committed to implementing performance management systems. Any institution that models effective performance management with their executive team and establishes clear expectations around performance management for all employees will have a higher probability of success than ones that

do not have high-level support. Without management support, the system will fail. Polsen (2004:22) states that starting at the top and getting the commitment of top management to make performance management a priority is a prerequisite for success. It may be necessary to educate the executive team on the critical role performance management can play in an institution's effectiveness and to convince them on the criticality of their role in leading the effort. The study also showed that 74.6% of the sample respondents indicated that human capital development improves performance. Although the institution has a Staff Development Policy (Annexure F), development programmes are more general rather than specific. For the performance of employees to improve, development programmes need to be more specific and related to the job of the employee. Development programme needs to be aligned to the job description of the administrative employee. The Performance Management System Resource Guide (Appendix D), Performance Management System Policy (Appendix E), Staff Development Policy (Appendix F) and Performance Management and Development Draft Policy (Appendix G) makes no provisions for high performing administrative employees although, section 8.1 (iii) of the performance management policy make reference to career pathing, there is no process in place on how it would be implemented it is, therefore, recommended that the institution develop and incorporate a succession planning and career development policy into the Performance Management system Policy (Appendix E) and the Performance Management and Development Policy (Appendix G). It is further recommended that the policy include job rotation of administrative heads. Long, *et al.* (2013:76) confirm that for development purposes, employees should be rotated between positions to fully educate them on the various aspects of their job.

6.5 DIRECTION FOR FUTURE RESEARCH

While this study dealt with the development of an exploratory human capital development model for administrative staff at the Durban University of Technology, future research should be replicated for academic employees. Since the study only

focused on administrative employee at the Durban University of Technology, future research should include other higher education institutions in Durban and other provinces which will allow for the generalisation of the results. With the advancement in technology future research should explore the effectiveness of web-based human capital development at higher education institutions or at other public sector organisations. Research on improving the current exploratory human capital development model aligned to performance management systems could be further investigated in the future.

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12th May 2016

Ms Ashnee Rajlal
c/o Department of Human Resources Management
Durban University of Technology

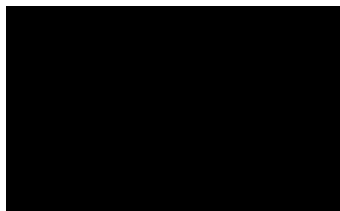
Dear Ms Rajlal

PERMISSION TO CONDUCT RESEARCH AT THE DUT

Your email correspondence in respect of the above refers. I am pleased to inform you that the Institutional Research Committee (IRC) has granted permission for you to conduct your research "Formulation of an exploratory human capital development model aligned to performance management system of administrative staff at the Durban University of Technology" at the Durban University of Technology.

We would be grateful if a summary of your key research findings can be submitted to the IRC on completion of your studies.

Kindest regards.
Yours sincerely



PROF. S. MOYO
DIRECTOR: RESEARCH AND POSTGRADUATE SUPPORT

ANNEXURE B

Telephone: 031- 3736794

Address: 21 Road 701
Montford
Chatsworth
4092

Cell: 0847113608

Date: 14 August 2014

Dear Respondent

ASSISTANCE: QUESTIONNAIRE COMPLETION – RESEARCH

I am a registered student at the Durban University of Technology in the Department of Human Resources Management. I humbly request your assistance in completing the attached questionnaire for the D.Tech.: Degree in HRM. My topic is entitled: **THE FORMULATION OF AN EXPLORATORY HUMAN CAPITAL DEVELOPMENT MODEL ALIGNED TO PERFORMANCE MANAGEMENT SYSTEM OF ADMINISTRATIVE STAFF AT THE DURBAN UNIVERSITY OF TECHNOLOGY.**

Permission has been kindly granted by the institution to conduct the in-house investigation and for the administration of the questionnaires in relation to the topic. In order to successfully complete my Doctoral qualification, the latter part of the empirical framework involves the administration of a structured closed ended questionnaire. You have been randomly selected as one of the respondents comprising the sampling frame of this institution.

I will be most grateful, if you could please complete the attached questionnaire and return same to me as I would be personally collecting the completed questionnaire returns (or if it mailed: Please return the completed questionnaire at your earliest convenience in the self-addressed envelope to the researcher).

The questionnaire would take about 15 minutes to complete and requires you to circle the relevant precoded response in an objective manner. Please answer all questions. Please be assured that your responses will be treated with utmost confidentiality and will not be divulged to any other party. Your name should not be mentioned on the questionnaire and will remain anonymous. Your participation is merely voluntary and there is no coercion or undue influence in completing this questionnaire. In addition, the responses to the questionnaire, once collated, will be used only for statistical purposes.

Your co-operation in assisting me with this important component of my study is highly appreciated and I look forward to a speedy return of the questionnaire. If there are any queries, please do not hesitate to contact me at the above telephone numbers. I take this opportunity of again thanking you in advance in order to enable me to complete this research project. Many thanks and kind regards.

Sincerely

ASHNEE RAJLAL

Attached Questionnaire for completion (ANNEXURE C).

ANNEXURE C

QUESTIONNAIRE ON HUMAN CAPITAL DEVELOPMENT AND PERFORMANCE MANAGEMENT OF ADMINISTRATIVE STAFF AT THE DURBAN UNIVERSITY OF TECHNOLOGY

INSTRUCTIONS TO RESPONDENTS

1. PLEASE TICK ONLY ONE RESPONSE IN THE APPROPRIATE BOX.
2. PLEASE ANSWER ALL QUESTIONS.
3. PLEASE DO NOT LEAVE ANY QUESTIONS BLANK.

SECTION A : GENERAL INFORMATION

1. PLEASE INDICATE YOUR GENDER.

		TICK
1.1	MALE	1
1.2	FEMALE	2

2. PLEASE INDICATE YOUR AGE.

		TICK
2.1	20 – 25	1
2.2	26 – 30	2
2.3	31 – 35	3
2.4	> 35	4

3. PLEASE INDICATE YOUR QUALIFICATIONS.

		TICK
3.1	SENIOR CERTIFICATE	1
3.2	DIPLOMA	2
3.3	DEGREE	3
3.4	HONOURS	4
3.5	MASTERS	5
3.6	DOCTORATE	6

4. PLEASE INDICATE LENGTH OF SERVICE.

		TICK
4.1	5 – 10 YEARS	1
4.2	11 – 15 YEARS	2
4.3	16 – 20 YEARS	3
4.4	21 – 25 YEARS	4
4.5	26 – 30 YEARS	5
4.6	> 30 YEARS	6

**SECTION B: HUMAN CAPITAL DEVELOPMENT AND PERFORMANCE MANAGEMENT AT THE
DURBAN UNIVERSITY OF TECHNOLOGY (DUT) OF ADMINISTRATIVE STAFF.**

Definition of Human Capital Development:

Garavan, Morley, Gunnigle & Collines. (2001:50) cite Mayo (2000) who define human capital as: a capability, knowledge, skill, experience and networking, with the ability to achieve results and the potential for personal growth of employees..

Definition of Performance Management:

Swanepoel, Erasmus, van Wyk & Schenk (2001:408) cite Spangenberg (1994) who describes performance management (i.e. performance appraisal) as: "an approach to managing people that entails planning employee performance, facilitating the achievement of work-related goals and reviewing performance as a way of motivating employees to achieve their full potential in line with organisation's objectives".

5. Please tick only one response in relation to the questions that follow

No.	These questions relate to administrative staff at the Durban University of Technology	YES	NO
5.1	Have you been subjected to a performance management process each year by your line manager at DUT?	1	2
5.2	Is there a follow up later after you received feedback on your performance?	1	2
5.3	Does the feedback from the performance management clearly reflect my strengths and weaknesses?	1	2
5.4	Is regular performance management necessary for career advancement in your Department at the University of Technology (DUT)?	1	2
5.5	Do the human resources interventions for human capital development assist you in reaching your potential?	1	2
5.6	In your view, is human capital development an important for your personal growth at the Durban University of Technology?	1	2
5.7	Does the training improve your work performance?	1	2
5.8	Are the training and development interventions relevant in your current job in relation to human capital development?	1	2
5.9	Is the performance management aligned to your goals at the Durban University of Technology?	1	2
5.10	Is your performance recognised for succession planning in your department?	1	2

6. PERFORMANCE MANGEMENT ASSIST IN HUMAN CAPITAL DEVELOPMENT WITH REGARD TO THE STATEMENTS BELOW: (Tick only one response for each statement)

	Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
6.1	Performance management is conducted annually.	1	2	3	4	5
6.2	Performance management identifies my weaknesses when performing my job.	1	2	3	4	5
6.3	Performance management identifies weaknesses in employee's skills and abilities and make recommendations for employee development.	1	2	3	4	5
6.4	Employee and management participate in the performance management process.	1	2	3	4	5
6.5	The institution conducts performance evaluation to determine the effects of the training and development programmes on their employees.	1	2	3	4	5
6.6	The performance management process allows for high performers to be identified and developed at DUT.	1	2	3	4	5
6.7	Supervisors view performance management process as a waste of time which impacts on human capital development.	1	2	3	4	5
6.8	When performance is not measured it affects identifying weaknesses in your job.	1	2	3	4	5

7. THE NEED FOR TRAINING AND DEVELOPMENT IN RESPECT OF HUMAN CAPITAL DEVELOPMENT AT THE DURBAN UNIVERSITY OF TECHNOLOGY FOR ADMINISTRATIVE STAFF.

	Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
7.1	Training for administrative staff at DUT is conducted on a regular basis to improve performance.	1	2	3	4	5
7.2	Training improves job your performance.	1	2	3	4	5
7.3	Training is developed in line with your job.	1	2	3	4	5
7.4	Training and development will assist with promotional opportunities	1	2	3	4	5
7.5	Training and development is provided on a regular basis to improve performance.	1	2	3	4	5
7.6	I am aware of the training programmes available to me.	1	2	3	4	5
7.7	Training develops employees for senior positions in the department	1	2	3	4	5
7.8	My supervisor supports me in meeting my training and development needs.	1	2	3	4	5
7.9	Training and development of administrative staff will improve the effectiveness of DUT	1	2	3	4	5

8. COACHING AND MENTORING WITH REGARDS TO CAREER DEVELOPMENT ARE ALIGNED TO HUMANCAPITAL DEVELOPMENT OF ADMINISTRATIVE STAFF THE DURBAN UNIVERSITY OF TECHNOLOGY.

	Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
8.1	Supervisors provide coaching and mentoring for career development opportunities for employees at DUT.	1	2	3	4	5
8.2	Coaching and mentoring is a method that can assist employees for career development.	1	2	3	4	5
8.3	Coaching and mentoring of talented employees provide opportunities for succession planning.	1	2	3	4	5
8.4	Coaching provides upward mobility of employees at DUT.	1	2	3	4	5
8.5	My supervisor mentor's me to improve my performance	1	2	3	4	5
8.6	Coaching and mentoring of staff influences institutional effectiveness	1	2	3	4	5
8.7	Coaching and mentoring improves employee performance.	1	2	3	4	5
8.8	Mentoring and coaching improves my knowledge on the job.	1	2	3	4	5
8.9	The success of mentoring and coaching depends on the mutual responsibility of the employee and the supervisor.		2	3	4	5

9. EFFECTIVE FEEDBACK ENHANCES PERFORMANCE OF ADMINISTRATIVE EMPLOYEES AT THE DURBAN UNIVERSITY OF TECHNOLOGY.

	Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
9.1	Feedback on my performance is provided by my supervisor.	1	2	3	4	5
9.2	My supervisor provides regular feedback on my performance.	1	2	3	4	5
9.3	My supervisor provides immediate feedback after I have completed a task	1	2	3	4	5
9.4	My supervisors assist me in recommending training and development needs to improve my performance.	1	2	3	4	5
9.5	My training and development needs are regularly measured against my job performance.	1	2	3	4	5
9.6	Feedback highlights my weaknesses in a clear, concise and specific manner.	1	2	3	4	5
9.7	Effective feedback is necessary in identifying employee development needs.	1	2	3	4	5
9.8	I have received feedback on my performance in the last 5years	1	2	3	4	5

10. EMPLOYEE DEVELOPMENT DEPENDS ON MANAGEMENT COMMITMENT TO HUMAN CAPITAL DEVELOPMENT AT THE DURBAN UNIVERSITY OF TECHNOLOGY.

	Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
10.1	Management is committed to implementing performance management systems for administrative staff at DUT.	1	2	3	4	5
10.2	Management should be responsible for ensuring line managers conduct performance management of their employees	1	2	3	4	5
10.3	Management supports programmes to develop and train administrative employees at DUT.	1	2	3	4	5
10.4	Management encourages personal growth for their administrative employees at DUT.	1	2	3	4	5
10.5	The institution provides development opportunities to administrative staff.	1	2	3	4	5
10.6	Management assist employees in career development opportunities for their employees.	1	2	3	4	5
10.7	Management provides opportunities for succession planning.	1	2	3	4	5
10.8	Management provides administrative staff the opportunity for job rotation as supervisors in their department.	1	2	3	4	5

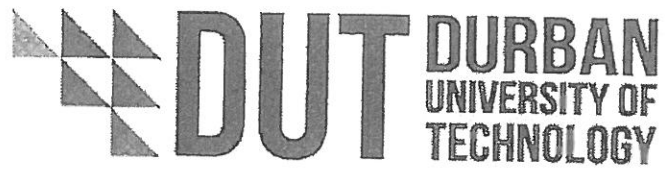
11. HUMAN CAPITAL DEVELOPMENT IS LINKED TO STAFF RETENTION OF ADMINISTRATIVE EMPLOYEE

11.1	Providing training and development assist DUT in retaining administrative staff.	1	2	3	4	5
11.2	Coaching and mentoring increases employee retention.	1	2	3	4	5
11.3	Training, development, mentoring and coaching improves employee stability at DUT.	1	2	3	4	5
11.4	Providing training, development, mentoring and coaching creates positive attitudes of staff to remain at DUT.	1	2	3	4	5
11.5	Management support for staff development will assist in staff retention.	1	2	3	4	5

12 GOAL SETTING ALIGNED TO PERFORMANCE MANAGEMENT SYSTEMS OF ADMINISTRATIVE STAFF AT DUT

12.1	My supervisor sets job targets to determine my performance standards.	1	2	3	4	5
12.2	Job goals are used to determine my performance	1	2	3	4	5
12.3	My performance on job goals can improve by human capital development methods.	1	2	3	4	5
12.4	Goals that are set are related to my job	1	2	3	4	5
12.5	The goals that are set are clear, and understandable which improves my job performance.	1	2	3	4	5
12.6	My work goals are ambiguous and unclear which affects my performance.	1	2	3	4	5

THANK YOU FOR YOUR KIND CO-OPERATION IN COMPLETING THIS QUESTIONNAIRE.



Performance Management System

Resource Guide

Administrative and Academic Professional Support

The purpose of this resource guide is to give the staff member and line manager a step-by-step guide to implementing the Performance Management System at the Durban University of Technology

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SECTION ONE

INTRODUCTION

Purpose of the Performance Management System

The main aim of the Performance Management System is to support staff so that they can perform optimally in the workplace and to ensure that they are provided with constructive feedback on their performance.

This guideline has been designed to assist you in understanding the implementation of the Performance Management System by:-

- Giving you clear guidelines through a step-by-step approach in developing performance plans and completing the attached forms.
- Describing the process and your role in the Performance Review process
- Explanation of the Rating System

Before we proceed, let us quickly clarify some principles and meanings.

Who is an Appraiser?

An appraiser is a person who reviews the performance of an employee. She/he could be an Executive Management Member, Dean, Director, Head of Department, Line Manager or a Senior member of staff who has been appointed as an appraiser.

Who is an Appraisee?

An appraisee is an employee whose performance is being reviewed or appraised, in most cases by a more senior employee/the appraiser.

What Skills must an Appraiser Possess?

While there are no prerequisite skills required for an appraiser, it is however compulsory for all appraisers to undergo a training session, where they are trained in appraisal techniques and skills. This is necessary to maintain a high standard of appraisals and to prevent conflict and resentment in the appraisal process.

Why is it Important to be Trained in Performance Appraisal Techniques?

Appraisers' have a tremendous responsibility in not only reviewing performance but also providing overall management of performance in the workplace, so that they can support staff in reaching their key results, through advice, coaching, training and development. In the past, staff appraisals were traumatic, as it was seen as punitive and adversarial, mainly due to the fact that managers and staff were not trained in observing some basic performance reviewing techniques, resulting in low self esteem and poor staff morale.

Where can I get additional assistance with regard to Performance Management System?

You may call the Human Resources Department for further assistance.

Performance Management Process

The **Performance Cycle** begins in November and December with the *mutual establishment of goals, expectations, and development activities* based on what is to be accomplished during the calendar year. This is the result of a discussion between the Line Manager and the individual employee to ensure that the individual's goals/expectations and development plan support what needs to be accomplished by the department in order to contribute to the University's strategic initiatives and are aligned with the values and mission.



The *Development Plan* should be created to build the needed competencies, job skills or Behavioral Competencies, that were identified in the most recent performance review. Specific experiences, activities and/or learning programs should be specified as part of this plan which should be included in the same document as the goals and expectations.

The **Mid-Year Performance Review** occurs between the months of May – July timeframe which is approximately half-way into the performance year. The purpose is to ensure that there is an opportunity to discuss progress to date towards the goals and expectations, provide feedback regarding examples of the *Behavioral Competencies*, and determine whether any adjustments to the goals/expectations or behaviors are needed. There should be regular ongoing feedback before that point but this mid-year review helps to prevent surprises at the annual performance review.

The Year-End Review begins in the November/ December time-frame . The individual completes the review by providing examples of performance, results, and behaviors that support the rating levels the individual believes are appropriate. The manager then completes the manager sections and ratings.

The Year-End Review Meeting between the employee and the Line Manager is conducted and receives the employee's final sign-off before the **January 15th**. This discussion is intended to be a mutual discussion regarding goal/expectations accomplishment, examples of behavioral competencies and the results of the development plan activities. At the end of this discussion, there should be a mutual understanding of overall performance results and the specific actions needed for future successful performance.

Performance Management Schedule of Dates

ACTION	DUE DATE
Plan Goals/ Expectations & Development for the year	November – January
Review Mid-Year Progress	May – July
Review Final progress	November – December
Plan Goals/ Expectations & Development for the year	November – January

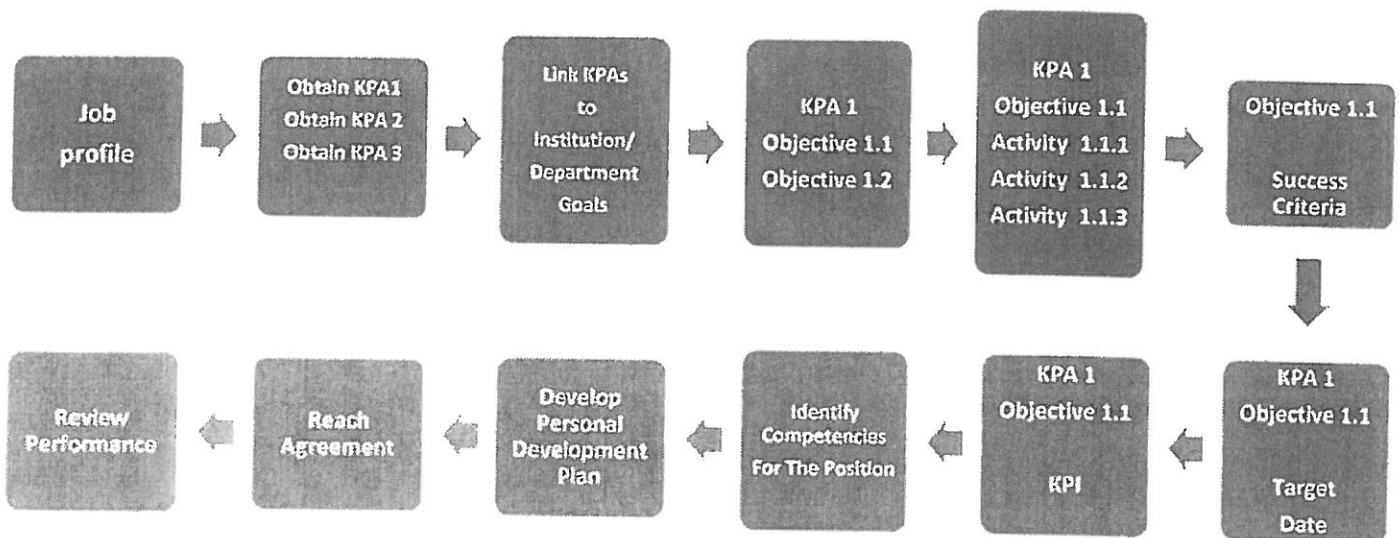
SECTION TWO

A Step-By-Step Approach in the Implementation of the Performance Management System

There are three main phases to the Performance Management System:

- Drawing up a Performance Plan
- Review the Plan by evaluating the results obtained
- Final Evaluation of the results

The setting of objectives allows the line manager and staff member to clarify expectations. The line manager and staff member agree on the focus areas for the work to be done during the coming period, as well as the performance standards expected.



Use the SMART concept to complete your plan.

S.M.A.R.T. goals have been found to be a very effective method of motivating employees to perform at peak levels. To qualify as S.M.A.R.T., a goal must be:

SPECIFIC. Specific goals let people know exactly what's expected of them with no room for misinterpretation. Specific goals should be able to answer the following:

- Who is responsible?
- When must this be done?
- What is to be accomplished?
- Which requirements/constraints are involved?
- Where is this to be completed?
- Why is this important or beneficial?

MEASURABLE. When setting goals, you must also set specific criteria for measuring progress against those goals. This gives your employees a way to stay on track, aim for target dates, and reach milestones that will serve as ongoing motivation.

ATTAINABLE. Setting overly lofty goals that are truly unattainable serve to demotivate-rather than motivate-your employees. By setting ambitious, yet realistic, goals, you will inspire your employees to fully leverage their talents and all available opportunities in order to achieve them.

RELEVANT. Employees must be able to see how a specific goal is relevant to them and the work they perform every day. Plus by keeping goals relevant, you will help employees better understand their connection to your company's objectives and the strategic importance of their individual goals.

TIMELY. To be most effective, goals must be structured around a specific timeframe to provide a sense of urgency. This serves to motivate individuals to begin working on their goals as soon as possible.

Follow the Steps below to understand and implement the Performance Management System.

STEP 1: Identify the Key Performance Areas

KEY PERFORMANCE AREAS (KPAs) are broad job categories expressed as general outputs or outcomes e.g. Teaching and Learning or People Management and Development.

A **job profile** describes the purpose of a job, its requirements, roles, responsibilities and lists a number of KPAs for a job.

A Key Performance area has two main qualities:

1. It is clear, specific, and measurable. You can determine exactly if the result has been achieved, and how well.
2. It is something that is completely under your control. If you do not do it, it will not be done by someone else. If you do it, and do it well, it can contribute significant value to the Institution and to your career.

KPAs must meet the following criteria:-

- Reflect your University's values and support its goals.
- The guided minimum is five to a maximum of seven.
- Describe in a few words - don't indicate "how much or "when".

A **weighting out of 100%** should also be given i.e. how much of an importance the KPA has in the position. These KPAs form the base of the Performance Plan that is to be developed for the incumbent of the position.

STEP 2: Link the KPAs to the Institutions/Departmental goal

Individual objectives ultimately align to the Institution's objectives.

There are two sources of information when considering job objectives for the year:

- The job profile, which gives you the broad job requirements within the job
- The objectives for the department/faculty, which are in turn, aligned to the institutional objectives.

Employees who clearly understand their individual goals-and how they relate to those of the institution naturally become more engaged with their work. Once employees see how they can make a direct contribution to your institutions success, they begin to focus on finding ways to work smarter and more efficiently.

STEP 3: Determine an Objective Statement to achieve your KPA

A performance objective is a specific end result that contributes to the success of the unit or organization and that an employee is expected to accomplish.

An objective, also referred to as an outcome or goal, is a particular project or piece of work linked to a KPA that is to be completed or achieved within a particular timeframe. Objectives are written in a clear, outcomes-based and measurable way. Each KPA has at least one associated objective. They almost always start with a verb. Objectives focus activities and provide direction, challenge and a sense of purpose.

STEP 4: Determine the work activities which relate to the objective statement

Choose minimum six of the most important work activities on your list, and for each one, write down what actions/process you follow to achieve the objective. Activities must be measurable.

STEP 5: Determine the Target/Success Criteria for the objective

Choose a minimum of three for each objective. Success Criteria can be derived by answering the question: "How do I know I have done a great job/ completed the job/task? The success speaks to the quality of the completed job and specifics of how the goal was met. It is the end result of the objective. Success criteria are the standards by which a project will be judged to be successful in the eyes of the stakeholders. It is if you achieved what you set out to achieve within the defined parameters. Once the project is over one should be able to say with certainty whether or not, and to what extent, you met the criteria.

STEP 6: Determine Target Dates

The target date must be a date / period of time. The criterion stresses the importance of grounding goals within a time frame, giving them a target date. A commitment to a deadline helps an individual see their efforts on completion of the goal on or before the due date. This part of the SMART goal criteria is intended to prevent goals from being overtaken by the day-to-day crises that invariably arise in an organization. A time-bound goal is intended to establish a sense of urgency.

SECTION THREE

Description of the Process to be followed in a Review Meeting

MID-YEAR PERFORMANCE REVIEWS

A Mid-Year Performance Review is held during May to June.

During this Review, progress on performance and results are discussed. The issue of coaching and other interventions may be recommended to correct performance must also be agreed on, wherever necessary. Interim Results and feedback should be indicated and recorded during these Review discussions as it is difficult to recall information after a longer time lapse. Some objectives may, however, relate only to a longer period of time (e.g. year).

Indicate the date on which the discussion took place, highlighting the main points of discussion and agreement. You must:-

- Review the Performance against agreed objectives
- Record critical incident/strengths for recognition
- Record areas for improvements and plan to correct performance
- Examine portfolio and update
- Ratings are required during the Mid-Year Performance Reviews
- Record your comments with regard to the appraisal on the Mid-Year Performance
- Summarise the progress/results achieved thus far
- Discuss areas for improvement and interventions e.g., coaching and training that has been given, training and development activities that need to be undertaken
- Appraisee's remarks and signature
- Appraiser's remarks and signature
- Common head's (of appraiser and appraisee) remarks and signature

FINAL PERFORMANCE REVIEW

The final performance review takes place in the last quarter of the year i.e. from October to end of December

How do I review my own performance during the final performance review?

You must prepare for and participate in the Final Performance Review which gives you and your Head of Department/Appraiser the opportunity to:

Summarise how actual performance compared to the level agreed to in the performance plan;

- Recognise major strengths;
- Agree on ways to improve performance that fall short of objectives;
- Look for ways to develop in the coming performance cycle.
- Rate yourself on the 3 point scale
- Send your self-assessment to your appraiser at least 3 days before the Final Performance Review meeting
- Record your comments with regard to the appraisal on the respective Final Review Forms

RATING ACCURACY

Accurately evaluating performance is the most visible indicator of success within a performance management system. Honesty and objectivity are essential to a successful reviewing performance discussion. Without them the review has no value to you or the University. Each objective will be rated on a 5 point scale.

Rating scale

1	Unsatisfactory Performance: The employee has not met most or all of his/her objectives and expected performance standards.
2	Needs Development: The employee has met some or most of his/her objectives to the expected performance standards. In a few areas he/she did not meet his/her objectives and / or agreed standards.
3	Meets Expectations: The employee has achieved the agreed objectives to the agreed performance standards. This is the minimum performance expected from every employee in the University.
4	Exceeds Expectations: The employee has consistently met his/her objectives to the agreed performance standards. In some cases he/she has achieved more than his/her agreed objectives and to a higher standard than expected.
5	Exceptional Performance: The employee has far exceeded his/her agreed objectives and performance standards.

Every objective must be measurable with clear success indicators described.

Scoring at Mid Term Review and Final Review

A = total number of **planned** objectives per KPA – count, do not add

B = total numbers of **achieved** objectives per KPA – count objectives that were achieved: 3's, 4's and 5's

$$\text{Performance Indicator (\%)} = \frac{B \times 100}{A}$$

Final Overall Scoring

This calculation is done only at the final review.

The final overall scoring is calculated by counting the ratings for each KPA and dividing the total score by the total number of KPA's.

$$\text{Overall Performance Indicator (\%)} = \frac{\text{KPA 1 rating} + \text{KPA 2 rating} + \text{KPA 3 rating} + \text{KPA 4 rating}}{4}$$

Both the line manager and employee will identify and develop interventions together to address poor and non-performance at review or feedback sessions, or any time during the performance cycle. Corrective action is the line manager's responsibility in conjunction with the Human Resources Department as facilitators of the process. Should the final score achieved be less than 3, a further discussion must be held between the staff member and line manager. The Guidelines for Managing Poor Performance must be followed.



PERFORMANCE MANAGEMENT SYSTEM

Document Name:	Performance Management System
Co-ordinating Exec Manager/Document Owner:	DVC: Institutional Support Director: Human Resources
Operational Manager/s:	Manager: Organizational Development
Contact & tel. no. for support:	(031)3732243
Approved by:	Council
Date approved:	21 June 2008
Date last amended:	March 2007
Title of manager responsible for policy review:	Director: Human Resources Manager: Organizational Development
Related policies:	Academic & Non Academic Promotions Disciplinary procedures Remuneration EAP Skills Development

1. PURPOSE OF THE POLICY

The Purpose of the Performance Management Policy is to ensure that DUT employees perform in terms of set standard, procedure and guidelines required by the job and DUT

2. POLICY

The Performance Management System provides:-

- A unified sense of direction through a shared vision through out the entire organisation, departments, teams and individuals respectively
- Be a continuous ongoing systemised management activity, firmly grounded as a core line management responsibility integrating corporate, sectoral, team and individual objectives with strategy
- Be fully participative and provide a basis for individuals to take responsibility for their own development
- Be corrective rather than punitive
- Be open and accountable, based on accurate, relevant and representative information
- Focus on performance outcomes and measures which people in the organisation are actually accountable for
- Be results and customer driven

3. APPLICABILITY

This applies to all DUT employees.

4. DEFINITIONS AND ABBREVIATIONS

Performance Management System (PerMS) is a tool to ensure that there is effective delivery of services of a high standard in the organisation, in which all levels of activity in an organisation are integrally aligned with its strategic vision, mission and goals, in such a way that performance of all key sectors, departments, teams and individuals are focussed and directed towards the achievement of the organisation's goals. The results are assessed in terms of actual targets set and agreed between the employee and employer.

KRA - Key Result Area. A Key Result Area (KRA) is described as outputs or results.

EM - Executive Management

HEQC - Higher Education Quality Assurance

5. CONTACT FOR SUPPORT

Director (Human Resources)/Manager (Organisational Development)

6. POLICY AUTHORITY AND CUSTODIANSHIP

Deputy Vice Chancellor (Institutional Support/Director (Human Resources)

7. RELATED POLICIES

Academic & Non Academic Promotions
Disciplinary procedures
Remuneration
Skills Development Policy
EAP Policy

8. IMPLEMENTATION PROCEDURES

8.1 FEATURES

The following features would form part of the performance management system

(i) Performance Improvement

It will provide an equitable basis for confronting substandard performance. It will also encourage continued successful performance and ameliorate individual weaknesses to make employees more effective and productive.

This instrument will assist in establishing the relative value of an individual's contribution to the organisation and to help individual accomplishments.

(ii) Feedback

It is crucial for employees to know how well they are doing. This instrument will facilitate this process by outlining what is expected from employees against actual performance levels. Furthermore, this will provide a format for dialogue between heads and subordinates, thus improving understanding for personal goals and concerns.

(iii) Human Resources Planning

It will enable the auditing of present skills and will form a basis for future human resources planning (employment, retirement etc), and career pathing.

(iv) Training Needs Analysis

This instrument will assist in the identification of training needs, counselling and development.

(v) Quality Management

The Performance Management System will help concentrate all activities, resources and processes on improved quality, standards and customer satisfaction.

(vi) *Competency Based*

The Performance Management System will encourage the acquisition of core competencies and multiskilling of staff thus improving overall ability and optimum organisational effectiveness.

(vii) *Customer Feedback Driven*

PerMS would use customer surveys to assess the quality of delivery to inform feedback to appraisee and teams to obtain a clear picture of performance eg students would be regularly surveyed on their views of service delivery, similarly staff would surveyed on the quality of support services.

(viii) *Compensation, Rewards, and Recognition Should Link to Performance Measures*

A clear link between achieving a specified performance target and some form of meaningful compensation, reward or recognition should be used as a positive performance incentive. Managers and employees intuitively understand the importance of a performance measure when it is directly tied to financial remuneration or other meaningful reward or recognition. Rewards and recognition may include either monetary awards (e.g., cash awards, fast track awards,) or non-monetary commendation (e.g., plaques, certificates, peer recognition). Managers should certainly recognise performance that meets or exceeds targets and expectations.

(ix) *Performance Corrective Action Guide*

For poor overall performance or sub standard performance, appropriate training and development or EAP interventions will be recommended, in the first instance. Thereafter, a performance review will be undertaken within an agreed time period not exceeding six months, to assess whether performance has improved. The subordinate and manager must agree on a performance improvement plan. If no observable improvement in performance is noticed in terms of the plan, the matter will be dealt with in terms of the Disciplinary Procedure.

Disciplinary action to correct poor performance, will only be taken after adequate support to correct such performance in terms of the of the performance improvement plan.

8.2 OPERATION OF PERFORMANCE MANAGEMENT CYCLE

Performance Appraisal is a fundamental part of the normal management process whereby managers and staff meet regularly to discuss issues of importance to the individual, the team, the department and the University. This is an integral part of good management practice. Appraisal will be a two-way opportunity for reflection and feedback on work performance. In this spirit managers will ensure that the relevant and appropriate EAP, training and development and other intervention plans of the University are formulated and implemented to enhance performance of staff.

Although it is expected of line managers/supervisors to continuously monitor the performance of their subordinates, at least two official meetings per annum must be held with the proceedings being recorded. As the system develops the frequency of meeting will increase as the targets get more comprehensive. EM may stipulate more reviews per year if necessary.

There are three important elements in a Performance Management System cycle, namely the Performance Planning/Agreement, Progress Reviews and the Final Performance Review. However, the starting point will be the conversion of the DUT Strategic Plan into measurable yearly targets and objectives for year 1, 2, and 3.

8.2.1 *Strategic Plan*

The 3 year institutional strategic plan is delineated into priorities for year 1,2,3 respectively. The goals formulated by Durban University of Technology will form the basis for the objectives for the different components of the University. In other words the corporate strategy of DUT will determine the activities its employees are required to carry out.

This is then converted into a balanced scorecard for each of the Executive Management members. This will also serve as a sectoral performance plan. Each Executive Manager will use the sectoral plan to formulate performance plans for their managers and subordinates.

8.2.2 *Performance Planning and Agreement Meeting*

The Vice Chancellor will set the goals (as set out in the institution's strategic plan) for all the Deputy Vice-Chancellors and Executive Directors reporting to him/her. They in turn will draw up performance plans/agreements for their respective sectors. In doing so they will identify Key Result Areas (KRAs) for their respective departments/faculties under their jurisdiction. Emanating from the key performance areas will be the specific measurable objectives for the individuals concerned.

The first part of the meeting should be a discussion on what needs to be done through the identification of KRAs and measurable objectives as well as, how it should be achieved. The manager and staff member should identify those behaviours and skills that they believe will facilitate the achievement of the objectives.

The second part of the meeting is to focus on the development plan for the calendar year. This development plan is not just a section for poor or average performers. Even high achievers can improve on the previous years's achievements and can improve their competencies. The focus of attention should be on what knowledge/skills/behaviours are needed to complete the objectives/tasks and what knowledge/ skills/behaviours of the staff member could be developed. Thereafter attention should focus on how this development can be achieved. Consideration could be given to formal and/or informal training, opportunities to gain experience, projects, job rotation, formal education and/or informal education, etc.

The Performance Plan becomes a Performance Agreement when the subordinate and Head signs the document, which is then reviewed during the period of review. All Performance Agreements must be approved by EMM before implementation.

8.2.3 *Measurement and Methodology of Performance Appraisal*

Each KRA is expressed into measurable objectives. It is based on the yearly strategic priorities set by the Vice Chancellor. Each Executive Manager and Executive Dean will construct their Performance Plans in alignment within VC strategic priorities and his/her Performance Plan. On an annual basis the Head and the subordinate must formally meet and mutually agree on the objectives to be attained by the subordinate during the forthcoming review period (usually at the beginning of the year). These objectives must be measurable, attainable as well as reasonable.

Heads must guard against setting objectives that will destroy the morale of the subordinates in that they are impossible to achieve.

It is very important that subordinates are made aware of acceptable targets in terms of amount, quality, and standards of performance. Therefore where possible the objectives must be:-

- specific; say exactly what will be done and how
- measurable; include the standards to which it will be done
- action orientated; ensure that an end result is specified
- realistic; ensure the goal is achievable
- time-based; include time deadlines

Failure, on the part of the appraiser, to indicate such specifications of performance will render the performance management system ineffective.

8.2.4 Progress Reviews

Once the performance plan has been agreed upon, appraisee and appraiser should consider dates for Progress Reviews (at least one, recommended three) during the year, to track the achievement of objectives set at the beginning of the review period. These Progress Reviews help in identifying any obstacles in the way of achieving the goals set in the Performance Agreement. However, these would be undertaken within the department and its frequency will be determined by the scope and complexity of the goals. The aim of this

is to act as an aid in identifying early performance problems and to constructively address these before the Final Performance Review. No rating is required at this stage.

8.2.5 Final Performance Review

The appraiser and appraisee will meet at the end of the performance cycle and discuss the objectives in the Performance Agreement. The KRAs will be assessed in terms of actual results achieved against those initially planned. A rating scale designed to indicate whether the results achieved were according to expectations, above expectation or below expectation, may be used. It is recommended that a portfolio of evidence to collect evidence to substantiate achievement of results be kept, so as to ensure that appraisal results are objectively reviewed against concrete evidence.

In individual circumstances, it may be appropriate for an appraisee to seek appraisal from someone other than their allocated appraiser. This must be discussed and agreed with the Head of Department or a more senior manager. The Head may elect to delegate responsibility for carrying out appraisal to nominated members of staff who will act in place of the Head of Department in appraisal meetings. For academic staff, this will normally be expected to be at Senior Lecturer level, provided that the appraiser in his/her normal duties has a supervisory role and agreement of appraisees is obtained.

Prior to a performance appraisal session the subordinate must be afforded the opportunity to engage in self-evaluation of his/her performance.

8.3 PERFORMANCE REVIEW COMMITTEE AND RELATED STRUCTURES

A Performance Review Committee will be established to monitor performance of the Institution with regard to the goals that would be set by the Vice Chancellor who will be guided by the Institution's Strategic Plan.

The functions of the committee will be the following:-

- To ensure that PerMS is aligned to strategic priorities as set by DUT and is delivering in terms of agreed objectives
- To ensure objectivity in the evaluation of performance
- To receive reports and summary of the Performance Appraisal process and recommend its approval to Council.

- To create performance culture in the institution
- To assess the implementation of the strategic priorities in terms of the agreed plan
- To identify institutional weaknesses, risks and take corrective action

Three Performance Review Committees shall be formed, namely

- Executive Performance Review Committee,
- Academic Performance Review Committees and
- Administrative and Support Performance Review Committee.

8.3.1 Executive Performance Review Committee

- This will be constituted by the Executive Committee of Council.
- The review will focus on the Vice Chancellor's performance and the institutional performance review.

8.3.2 Academic Performance Review Committee

This will be comprised of:

- Principal & Vice-Chancellor
- Deputy Vice-Chancellor (Technology, Innovation & Partnership)
- Deputy Vice-Chancellor (Institutional Support)
- Deputy Vice-Chancellor (Academic)
- Exec Director Student Services
- Institutional Planning
- Head : Quality Assurance
- Executive Deans
- 1 Senate Representative
- Director (Research)
- 2 Human Resources Representatives
- One representative per recognised Union

This committee will appraise the collective performance report of the DVC (Academic) and the Academic sector.

8.3.3 Administrative and Support Performance Review Committee

This will be comprised of:

- Principal & Vice-Chancellor
- Deputy Vice-Chancellor (Institutional Support)
- Deputy Vice-Chancellor (Technology, Innovation & Partnership)
- Deputy Vice-Chancellor (Academic)
- Executive Director Student Services
- Institutional Planning
- Head : Quality Assurance
- 2 Human Resources Representatives
- One representative per recognised Union

This committee will appraise the collective performance reports of the Non Academic/Administrative sector and the respective DVC (Finance and Information Services), DVC (Institutional Support) and Executive Director (Student Services) and any executive manager and their respective sector.

8.3.4 COMPLAINTS AND DISPUTES

Every effort must be made by the participants to the performance appraisal exercise to be fair, open, and reasons must be given for the assessment based on some evidence produced. This would avoid subjective judgements being made.

However any complaint with regard to the performance appraisal, may be directed to the performance reviewing officer in the first instance (the appraiser), if not resolved it may be referred to the next level of authority above the reviewing officer, till the line executive manager. The executive manager may conduct his/her own review. If still not resolved it may be finally referred to the Performance Reviewing Committee, which will attempt to solve it or may recommend that it be dealt in terms of grievance procedure or any other appropriate procedure in terms of the institution's rules or the LRA or appoint an independent assessment of the performance of the employee concerned .

Nothing in this section should however prevent the operation of the Performance Management System, in areas not affected by the complaint or dispute.

9. Monitoring

9.1 Title of Manager responsible for monitoring

Deputy Vice-Chancellor (Institutional Support)/Director (Human Resources)

9.2 Timelines and Mechanisms for Monitoring

9.2.1 The Manager Organizational Development must submit quarterly reports to the Director (Human Resources)

9.2.2 The report must at least contain the following information:-

- Number of employees affected by this policy
- Duration
- Remuneration (if applicable)

9.3 Timelines for submission of annual monitoring

The Director (Human Resources) must submit an annual report to the Deputy Vice-Chancellor (Institutional Support).

9.4 Process and timeline for discussion and action on monitoring report.

- The Deputy Vice-Chancellor (Institutional Support) must, within 1 month of receipt of the annual report discuss issues arising there from with the Director (Human Resources).
- The Director (Human Resources) must immediately action issues that have been agreed upon with the Deputy Vice-Chancellor (Institutional Support).
- Matters requiring Executive Management approval must be directed to Executive Management by the Deputy Vice-Chancellor (Institutional Support).

9.5 Timelines for submission of a copy of the annual monitoring report to the CQPA

The Director (Human Resources) must submit the annual monitoring report to CQPA within 1 month of the finalization thereof.



Staff Development Policy

(This Policy must be read in conjunction with the respective development policies)

Document Name:	Staff Development Policy
Co-ordinating Exec Manager/Document Owner:	The Deputy Vice-Chancellor (Institutional Support)
Operational Manager/s:	Director (CELT) Director (CQPA) Director (CRCD) Centre for Research Capacity Development Director (Human Resources) Director (Post Graduate Development and Support) Director (Technology Transfer)
Approved by:	Executive Management
Date approved:	17th August 2009
Date last amended:	
Title of manager responsible for policy review:	The Deputy Vice-Chancellor (Institutional Support)
Related Policies and Legislation	(i) Skills & Professional Development Policy (ii) Remission of Tuition Fee Policy (iii) Reciprocal Agreement (iv) Higher Education Employee Assistance Policy (v) Induction Policy

1. PURPOSE

The purpose of the Staff Development Policy is:

- To provide guidelines to improve and develop staff qualifications, capacity and professional development and to enable individuals to achieve their full potential and contribute to the provision of excellent teaching, research and technology transfer at the University.

2. POLICY

The Staff Development Policy outlines the commitment of the University to up-skill, build capacity and improve quality teaching and learning for DUT Employees. Further, the policy consolidates the roles that different structures play in the delivery of staff development. The Departments for Staff Development, Centre for Excellence, Learning and Teaching (CELT), Centre for Quality Promotion & Assurance (CQPA), Centre for Research Capacity Development (CRCD), Post Graduate Development and Support (PGDS), Technology Transfer and Innovation & Human Resources would jointly be responsible for the delivery of specific aspects of staff development related to their areas of responsibility.

3. APPLICABILITY

This Policy is applicable to all permanent and contract (1 year or more) employees at the Durban University of Technology.

4. ABBREVIATIONS

CELT	-	Centre for Excellence, Learning and Teaching
EXCO	-	Executive Committee of the Skills & Professional Development Committee
CRCD	-	Centre for Research Capacity Development
PGDS	-	Post Graduate Development and Support

5. Contact for Support

Centre for Excellence, Learning and Teaching (CELТ)
Skills Development (Human Resources Department)
Centre for Quality Promotion & Assurance (CQPA)
Centre for Research Capacity Development (CRCD)
Technology Transfer and Innovation (TTI)
Postgraduate Development and Support Directorate (PGDS)

6. Policy Authority/Document Owner

Deputy Vice-Chancellor (Institutional Support)

7. IMPLEMENTATION PROCESS

The following Units are responsible for designing appropriate capacity development interventions/activities:-

- Skills & Professional Development
- Centre for Excellence, Learning and Teaching(CELТ)
- Centre for Research Capacity Development (CRCD)
- Centre for Quality Promotion & Assurance
- Postgraduate Development and Support Directorate (PGDS)
- Technology Transfer and Innovation (TTI)

7.1 SKILL & PROFESSIONAL DEVELOPMENT

7.1.1 The functions of the Skills & Professional Development will entail:-

- Co-ordinating and directing the skills development initiatives of the Durban University of Technology.
- Implementing and monitoring the skills development plans for all departments in line with departmental goals.
- Implementing skills legislation
- Creating an environment that is conducive to the utilisation of skills development opportunities;
- Addressing of performance gaps by providing skills intervention
- Addressing skills development to address equity targets; and
- Ensuring achievement of strategic goals of the university through skills development.

7.2 EDUCATION SUBSIDY ASSISTANCE

7.2.1 Higher Education Employee Assistance Scheme

The above Scheme provides employees with financial assistance in their higher education studies:-

- In all other Study Programmes outside those offered at DUT
- At any Higher Education institution outside the Republic of South Africa.
- At private Higher Education Institutions in South Africa or in Partnership with Local Providers

7.2.2 Reciprocal Agreement

The Reciprocal Agreement makes provision for the remission of tuition fees for DUT employees to study at the following neighbouring Universities:-

- Mangosuthu Technikon
- University of Zululand; and
- University of South Africa (post graduate studies only until 31/12/09).

7.2.3 Remission of Tuition Fee at DUT

Employees of DUT, their Spouses and Dependants study at DUT where their fees are waived according to the conditions contained in the Remission of Tuition Fee Policy.

7.3 CENTRE FOR RESEARCH CAPACITY DEVELOPMENT (CRCD)

The CRCD Unit develops and increases research output by:-

- Increasing research capacity;
 - Assisting staff to publish in any media, leading staff towards publishing in approved publications;
 - Supporting and encouraging staff already publishing in accredited and approved publications;
 - Managing the administrative aspects associated with research
- With the revision in focus for the Centre for Research Management and Development (CRMD) the name was changed to Centre for Research Capacity Development (CRCD) to more precisely describe the coordinating and research capacity development function this unit will perform in the next number of years. Its main functions are to:
- Identify and develop new, young, black and women researchers in terms of publication outputs. This includes UoT type of publication outputs such as articles for newspapers and magazines; peer reviewed publications; etc.
 - Be visible within faculties
 - Hosting publication writing workshops

7.4 POST GRADUATE DEVELOPMENT AND SUPPORT (PGDS)

The Postgraduate Unit supports postgraduate studies by:-

- Increasing postgraduate numbers;
- Recruiting amongst B.Tech. students;
- Developing and supporting supervisors and promoters;
- Promoting staff and postgraduate exchanges with the DUT partners;
- Promoting postgraduate awards to attract more postgraduate students
- Establishing and managing a “One-Stop” office for postgraduate studies
- Increasing research outputs in terms of Master’s and Doctorate graduates
- Providing support to postgraduate staff and students; supervisors and promoters; Faculty Research Committees
- Managing the postgraduate Awards and Incentives scheme
- Facilitating postgraduate workshops
- Postgraduate marketing

7.5 TECHNOLOGY TRANSFER

The Technology Transfer Office provides skills and development to advance capacity in the following:-

- Stimulating applied research;
- Artifacts and Patents
- Commercialization of research/relevant projects; and
- Support for entrepreneurs/SMMEs
- Guiding the strategic direction of the university in conjunction with faculties and other support units in the areas of technology transfer and innovation
- Increasing research outputs in terms of patents and artefacts
- Protecting the Intellectual Property (IP) of UoT research outputs
- Providing guidance in contract research
- Overseeing the Technology Stations
- Liaising with funding agencies

7.6 CENTRE FOR EXCELLENCE, LEARNING AND TEACHING (CELT)

CELT is guided by national and institutional imperatives as evidenced by the DUT strategic plan and faculty academic staff development plans.

The 3 pillars of skills development entail's Teaching and Learning, Research, and Community Engagement. CELT works with Faculties, departments, programme teams and individual staff members to:

- Develop their capacity to design & implement values-driven, holistic, career-focused, and learner-centred curricula;
- Integrate educational technology in their Learning, Teaching & Assessment practice
- Empower them as autonomous scholars in Learning, Teaching & Assessment.

7.7 CENTRE FOR QUALITY PROMOTION AND ASSURANCE (CQPA)

The CQPA operates within the regulatory framework of the university and in alignment with national imperatives and is committed to quality promotion and enhancement. The CQPA offers capacity development workshops in alignment with the philosophy and approach of the university to quality promotion and assurance as articulated in the mission, goals and the Quality Assurance policy of the DUT.

The functions of the CQPA and the associated activities are:-

- Quality promotion and enhancement
- Academic Planning (Programme management)
- Quality monitoring and quality assurance
- Preparation for national reviews and audit

8. Monitoring

8.1 Title of Manager responsible for monitoring

The Deputy Vice-Chancellor (Institutional Support).

8.2 Timelines and Mechanisms for Monitoring

The Manager/Directors of the Departments of CELT, Skills & Professional Development, Research, CQPA, Postgraduate Studies and Technology Transfer must submit quarterly reports to the Deputy Vice-Chancellor (Institutional Support).

8.2.1 The report must at least contain the following information:-

- Number of employees affected by this policy
- Duration
- Remuneration (if applicable)

8.2.2 Timelines for submission of annual monitoring

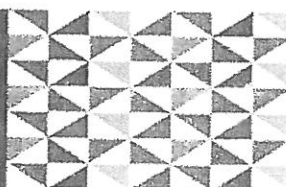
The Deputy Vice-Chancellor (Institutional Support) must submit an annual report to the Vice-Chancellor.

8.2.3 Process and timeline for discussion and action on monitoring report.

- The Deputy Vice-Chancellor (Institutional Support) must, within 1 month of receipt of the annual report discuss issues arising there from with the Manager/Directors of the departments of CELT, Skills & Professional Development, Research, CQPA, Postgraduate Studies and Technology Transfer..
- The aforesaid Directors/Managers must immediately action issues that have been agreed upon with the Deputy Vice-Chancellor ((Institutional Support)
- Matters requiring Executive Management approval must be directed to the Vice-Chancellor by the Deputy Vice-Chancellor (Institutional Support).

8.2.4 Timelines for submission of a copy of the annual monitoring report to the CQPA

The Deputy Vice-Chancellor (Institutional Support) must, via the Vice-Chancellor submit the annual monitoring report to CQPA within 1 month of the finalisation thereof.

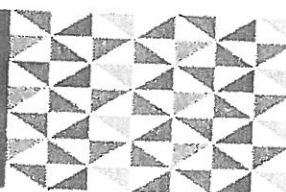


PERFORMANCE MANAGEMENT AND DEVELOPMENT POLICY

Date approved	Previous	2008	Date Policy shall take effect		Date of Next Review	
	Current	To be determined				
Approved by	University Council					
Custodian	Human Resources Department					
Title, Author & e-mail address	Manager (Vacant)					
Responsible Faculty/ Division/Unit	Organisational Development Department					
Supporting documents & forms	i. Performance Management System Guidelines ii. Performance Management Procedures iii. Performance Planning and Review Form - Administrative and Professional Academic Support iv. Performance Planning and Review Form - Academic					
Reference & Legislation	Durban University of Technology – Disciplinary Code Labour Relations Act No 66 of 1995 : Schedule 8 – Code of Good Practice					
Audience	DUT Employees					
Expiry Date of Policy	Not applicable					

CONTENT

1. PURPOSE
2. POLICY STATEMENT
3. SCOPE (APPLICABILITY)
4. DEFINITIONS
5. HIGH LEVEL PROCEDURES
6. CONTACT FOR SUPPORT
7. POLICY AUTHORITY
8. RELATED POLICIES



4. DEFINITIONS:

4.1. Development

Training and development activities to enhance the employee's competencies and to improve employee's performance.

4.2. Key Performance Area (KPA)

A Key Performance Area is described as outputs or results. Key Performance Areas are the areas within the business unit, for which an individual or group is responsible for making an effective contribution to the achievement of departmental strategies, goals and objectives.

4.3. Moderation

The review of employee assessment scores by a committee to ensure consistency and fairness across the department through a common understanding of performance standards required at each level of the rating scale.

4.4. Performance agreement

A document/ performance plan agreed upon and signed by the employee and his or her line manager.

4.5. Performance cycle

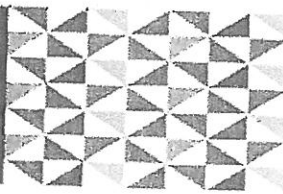
A 12-month period, for which performance is planned, managed and assessed.

4.6. Professional Development Plan (PDP)

A PDP is defined as 'a structured and supported process whereby the important competency and other developmental needs of the employee are documented and is undertaken by an individual to reflect upon their own learning, performance and/or achievement and to plan for their personal, professional and career development'.

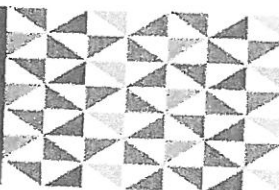
4.7. Strategic plan

The end product of strategic planning, setting out the mission and vision statements and the medium and long term strategic objectives of the Department and / or Institution.



5. HIGH LEVEL PROCEDURES

- 5.1. Three important elements underpin the Performance Management System cycle, namely the Planning/ Goal setting, Development, Mid Year and Final Performance Review. The line manager and staff member must identify those behaviours and skills that they believe shall facilitate the achievement of the objectives through guidance, mentoring, coaching and training.
- 5.2. The Performance Plan becomes a Performance Agreement when the subordinate and Line Manager sign the document, which is then reviewed during the period of review.
- 5.3. Once the performance plan has been agreed upon, the line manager and employee should adhere to institutional dates for Progress Reviews (minimum 2) during the year, to track the achievement of objectives set at the beginning of the review period.
- 5.4. The line manager and employee shall meet at the end of the performance cycle and discuss the objectives set in the Performance Agreement. The KPAs shall be assessed in terms of actual results achieved against those planned.
- 5.5. Employees will be assessed based on a five point rating scale designed to indicate whether the results achieved were according to expectations, above expectation or below expectation.
- 5.6. Final employee performance assessment ratings / scores may be moderated by the Performance Review Committee to ensure that the ratings criteria are fairly and consistently applied to evidence of individual performance using performance criteria whilst maintaining confidentiality of information.
- 5.7. All final employee performance assessment ratings will be signed off by two levels of management through the moderation process.
- 5.8. If an employee worked under the supervision of more than one manager, feedback should be sought and consolidated from multiple sources and ratings shall be prorated in accordance with time spent with each manager.
- 5.9. A portfolio of evidence to substantiate achievement of results must be kept as proof of work achievements or output.
- 5.10. Both the line manager and employee shall identify and develop interventions together to address poor and non-performance at review or feedback sessions, or any time during the performance cycle. Corrective action is the line manager's responsibility in conjunction with the Human Resources Department as facilitators of the process.
- 5.11. The Guidelines for Managing Poor Performance must be followed. Should the employee not respond to reasonable and continuous attempts to improve performance, an overall performance evaluation must be conducted for the period, thereafter the University's Disciplinary Procedure shall apply.



- 5.12. Disciplinary action to correct the poor performance, shall only be taken after adequate support to correct such performance in terms of the of the performance improvement plan has taken place.
- 5.13. Where a disagreement arises during any stage of the performance management process, the aggrieved party can lodge an appeal by following the University Grievance procedures as contained in the Disciplinary Code and Grievance Procedure.
- 5.14. If still not resolved it may be finally referred to the Performance Reviewing Committee, which shall attempt to solve it or may recommend that it be dealt in terms of grievance procedure or any other appropriate procedure in terms of the institutions rules or the Labour Relations Act or appoint an independent assessment of the performance of the employee concerned.

6. CONTACT FOR SUPPORT

Contact the Human Resources Department for assistance with implementation of this policy and for any other clarification required.

7. POLICY AUTHORITY

- 7.1. Institutional Management is responsible for the implementation of this policy in terms of the necessary processes, systems and procedures.
- 7.2. Line managers are responsible for adhering to the policy, process and procedures.
- 7.3. Human Resources department is responsible for the administration process, and the provision of management information.
- 7.4. Performance Review Committee shall be established to moderate performance ratings of the individual in achieving the objectives as set out in the performance agreement.
- 7.5. Performance Review Committee shall audit the Performance Management System, Processes and Procedures and compile a report with findings for review.

8. RELATED POLICIES

- 8.1. Academic Promotions Policy
- 8.2. Disciplinary and Grievance Policy and Procedures
- 8.3. Skills Development Policy
- 8.4. Wellness Policy
- 8.5. Recruitment, Selection and Appointment Policy and Procedures