



Innovative performance management in the public sector in Botswana: towards a new model

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DEDICATION

This study is dedicated to my wife, Unomusa Bester, my two daughters Ashley Gugulethu and Nobuhle Michelle. May this work inspire and make them believe that they can achieve their academic dreams. I also dedicate this study to my late grandmother Twayimane for laying the ground work for my academic journey.

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DECLARATION

I certify that the work presented in this thesis entitled INNOVATIVE PERFORMANCE MANAGEMENT IN THE PUBLIC SECTOR IN BOTSWANA: TOWARDS A NEW MODEL is to the best of my knowledge and belief, original, except as acknowledged in the text, and that the material has not been submitted, either in whole or in part, for a degree at this or any other university.

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ABSTRACT

The demand by citizens for quality service in the public sector has generally changed the way government departments provide services globally. The provision of quality service delivery is no longer a private sector issue but also a public sector one and citizens now expect the public sector to provide quality service. The citizens of Botswana expect government departments to provide quality service and government responded by implementing performance management.

The main aim of this study was to investigate the challenges confronting the implementation of performance management in the public sector in Botswana and to identify obstacles hindering effective implementation and come up with a model for innovative performance management. The study used a qualitative method research design to collect data. Data for the research was collected using oral interviews and focus group discussions. A sample of 80 participants was selected from the Ministry of Education and Skills Development and the Ministry of Local Government with each ministry providing 40 participants. Purposive sampling was used to select the participants.

The study found that the implementation of performance management had challenges that included negative perceptions on performance management; lack of support for innovation from senior officials; lack of training on performance management; ineffective dissemination of information on performance management through the use of the cascading approach; poor work ethic; lack of incentives to motivate employees; weak implementation capacity; lack of monitoring, supervision and evaluation skills and lack of resources for effective implementation.

The findings of the study provide insights on how the implementation of performance management in the public sector in Botswana could be effective through the adoption of recommendations and the implementation of innovative performance management. The recommendations include setting clear policy objectives for performance management; creating a team of performance management champions; strengthening management capacity in performance management; promoting effective implementation of innovative performance management; strengthening the culture of accountability and responsibility; strengthening communication between ministries; strengthening decentralisation and empowering local

authorities; strengthening use of technology in ministries as well as implementing innovative performance management.

Key Words: Botswana, creativity, innovation, ministry, model, performance management, public sector

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CHAPTER ONE

1.0 INTRODUCTION

Innovative performance management in the public sector should be a core activity that assists the sector to enhance service delivery, satisfy the expectations of community members and promote creativity to address new challenges resulting from the ever changing environment. Innovation in performance management occurs globally in the public sector and has a number of dimensions including policy development, regulatory approaches, programme delivery, use of technology, organisational innovation and the provision of new or improved services (Cook, 2009:1). Albury (2003:5) defines innovation as “new ideas that work”. Stuart- Weeks & Kastle (2015:63) view innovation as a bug that organisations catch and this good virus keeps organisations healthy and robust when faced by other “bad virus” infections that can debilitate or disable the organisation. If innovative performance management is taken as a virus, the public sector should do something so that infection takes place and this includes exposure, willingness and lowering the immune system of the organisation so that the organisation does not resist change (Stuart-Weeks & Kastle, 2015:64). Globally, the public sector faces immense pressure to improve its performance to satisfy customers and this is why it should be innovative in performance management. This study investigated how performance management improves performance in the public sector in Botswana.

1.1 ORIENTATION AND BACKGROUND

Managers in the public sector face immense pressure to provide quality service and the slogan of producing “more with less” is an indication of how quality service is valued in the public sector (Arnaboldi, Lapsley & Steccolini, 2015:1). Innovations are generally triggered by market demands and initial innovative ideas often multiply into several ideas as well as activities resulting in different ways of carrying out tasks in an organisation (Roste, 2005:4). Innovation can experience setbacks and includes making mistakes and an organisation can face uncertainty and risk (Roste, 2005:4). Good communication and the support of all stakeholders as well as adequate resources coupled with individuals who are able to withstand challenges lead to innovation success (Sorenson & Torfing, 2011:1). Innovation processes generally take place in three stages and they are the initial stage, development period as well as the implementation stage (Mulgan & Albury, 2003: 3).

Innovative performance management enables the public sector to develop better ways of satisfying the needs of customers, tackling challenges, using technologies and resources to enhance effectiveness (Mulgan & Albery, 2003:5). Innovative performance management in the public sector also results in efficiency and encourages national competitiveness and growth (O'Donnell, 2006:29). Public sector innovation in an international context has been successful in many countries including Canada, The Netherlands, Norway and the United Kingdom (O'Donnell, 2006:29). For example in 1995, the Ontario Public Service (OPS) in Canada set out the new direction for the OPS envisioning a public sector focused on core business, quality service to customers and opening up its business plans and performance measures to the public for feedback (Bain, Davis & Stothers, 2002:9). The OPS is an example of how public innovation can make people move away from an “if only” attitude to a “what if” where there is generation of new ideas and practices (Bain et al., 2002:10). In Norway, the public sector is encouraged to find new and better ways of performing and provide policy makers with insights that are important for the promotion of innovations that benefit civil society (Bain et al., 2002: 11).

The theory of innovation is not formally established but includes a number of areas such as management, economics, cognitive and system theories and organisational psychology (Roste, 2005:2) all dealing with different aspects of innovation. Literature on innovation provides types of innovation but does not provide a single theory to explain innovation (Dreiling & Recker, 2013:1). Innovations are said to take place in systems of innovation (Marobela, 2008:426) and organisational studies on innovation offer other central perspectives on innovation. Many scholars say that innovation is evident in organisational settings and consists of individuals, organisations and it generally takes place within a defined cultural framework (Roste, 2005:2).

Performance management as a concept can be based on the theory of motivation (Esu & Inyang, 2009:99). There are various theories of motivation including the two-factor theory by Herzberg, needs achievement theory by McClelland and the needs theory by Maslow. Esu & Inyang (2009:99) are of the view that the goal-setting theory is relevant to the performance management concept. It is based on the realization that individuals have conscious goals and these act as motivators to make them improve performance (Akata, 2003:14).

Performance management as an innovation has been practiced for over three decades in the public sector (Andrews, 2014:3). Governments in many countries have implemented a variety of

instruments to enhance performance in the public sector (Andrews, 2014:2). Governments have placed a lot of faith in the power of performance management and have used target setting techniques, performance information and performance planning to improve public sector performance (Dooren, Bouckaert & Halligan, 2010: 23). Although performance management has been adopted by many countries, some commentators still view performance measurement as obscuring and inhibiting effective innovation (Boyne, 2010:67). Despite this negativity (Andrews, 2014:3) argues that studies show that there are benefits in implementing performance management.

In the public sector, performance management consists of measuring performance, setting targets as well as rewarding those who have met targets and sanctioning those who have not (Ward & John, 2013:3). Hood & Dixon (2010:283) say key components to performance management are information gathering (detectors), setting standards (directors) and behaviour modification (effectors). Studies have shown that the introduction of targets have prompted improved performance (Boyne & Chen, 2007:467). However, some empirical studies have shown that there can be challenges in setting targets and performance contracts for individuals leading to unrealistic targets being set (Soss, Fording & Schram, 2011: 212). This can lead to performance ineffectiveness.

It should be realised that performance management would not operate as an entity on its own and there is little that has been done if any to find out how performance management actually improves performance (Sanger, 2013:187). Andrews (2014:9) suggests that a number of issues should be addressed including the involvement of stakeholders, leadership capacity, employee involvement, leadership support, an innovative culture and system maturity for performance management to improve performance. To the researcher's knowledge no study has been done in the public sector in Botswana to look at how performance management improves performance. This study seeks to fill this gap.

Botswana became independent in 1966 and adopted its constitution on 30 September of the same year. It is a landlocked country and shares its borders with South Africa, Zambia, Namibia and Zimbabwe. It has a success story economically and has had an impressive economic growth rate since independence with diamonds contributing 30% to the Gross Domestic Product (GDP) with beef, tourism and agriculture making up the rest (Washington & Hacker, 2009:16). After

independence the country faced a number of challenges and one of them was inadequate skilled labour in the Public Sector and this affected productivity (Hope, 1995:5). Senior positions in the public sector were occupied by expatriates and the government decided to develop skills of the locals so that they could take over when expatriates left (Washington & Hacker, 2009:17). Organisation and Methods as well as Job Evaluation were adopted as reform strategies for improving Public Service performance (Washington & Hacker, 2009:18).

Other reforms include the Work Improvement Teams which was implemented in 1993 and its objectives included the enhancement of team spirit and the enhancement of human relations, development of positive attitude towards work and the creation of improved communication between management and employees. In 1998 reforms such as Performance Management Systems (PMS), Decentralisation and Human Resource Development (HRD) as well as the Public Service Reforms Unit (PSRU) were introduced (Marobela, 2008:426). The public service started implementing the performance management reforms following the recommendations of the National Development 8 (NDP 8) and it was envisaged that this would improve delivery of service by the public service employees (Selepeng, 2009:2).

The issue of public sector productivity started in the 1990s when the leadership of the country realized that the public sector had a work culture that was not good and there was a need to change the attitudes of the people (Kitaw, 2010:5). The public complained about wastage of resources, abandoning of projects before completion, shoddy jobs on government projects, lack of proper planning and the mismanagement of funds (Kitaw, 2010:4). Venson (1986:12) gives the following reasons for poor productivity in the civil service: failure by public employees to satisfy customer needs; failure by top senior government bureaucrats to interpret policy; lack of clarity of objectives and policies to those who are to implement them; lack of adequate feedback on performance appraisal to subordinates and these were not used for decision making and also the lack of adequate involvement on the part of subordinates in making decisions.

The situation in the public sector in Botswana has been viewed by Hope (1999:109) as a productivity dilemma. The observation was that productivity in the public sector was slowly declining because most goods and services were generally non-divisible and as a result there was no discrimination in their distribution (Hope, 1999:110). The other problem that affected productivity in the public sector was that when new employees were hired, their productivity and

commitment was not known beforehand (Siphambe & Bakwena-Thokweng (2009:130). It was against this background that the Botswana National Productivity Centre (BNPC) was established with assistance from Singapore on how productivity could be driven.

Public sector reforms in Botswana appear to have been influenced by the realization that despite having a relatively impressive economic performance, public sector performance has been poor (Kaunda, 2013:1). Official government statements such as National Development Plans (NDPs), the Vision 2016 document and annual budget speeches all report of low productivity in the public sector (Kaunda, 2013:1) and weak implementation capacity as major factors affecting the achievement of public policies that are otherwise clear and detailed.

A number of challenges have faced the public sector in Botswana since the introduction of performance management. Dzimbiri (2009:53) identifies these as lack of knowledge and commitment, unclear roles, lack of leadership, reform fatigue as well as the problem of Performance Improvement Coordinators (PICs). Some of the challenges that have affected the effectiveness of performance management initiatives in Botswana's civil service include the top down approach that is used to introduce these initiatives and the absence of rewards (Mothusi, 2008:76), lack of support from senior management who view performance management as another programme that will fail just like other previous programmes (Marobela & Mawere, 2011:5313) and the view that it is a complex programme to implement. The top – down approach makes junior employees resist the initiatives because they feel they have no input into the programmes (Mothusi, 2008:76). The other problem is the monitoring tool or performance agreement which is viewed by management to be complicated and the issue of the frequency of reporting which is seen as time consuming by management (Bulawa, 2013:62). Lack of confidence among managers to effectively implement performance management is another challenge and it makes junior officers lack confidence in the ability of their managers to implement it effectively (Bulawa, 2013:62).

In a study carried out by Bulawa (2013:56) one of the problems with the current performance management system in the ministry of education and skills development in Botswana is the amount of paperwork that is involved. Heads of schools felt that there was a lot of paperwork involved in PMS especially when it comes to performance agreements and they felt that more time was spent managing paperwork instead of managing teachers and support staff (Bulawa,

2013:56). Teachers also felt that they spent too much time on paperwork instead of actual teaching (Bulawa, 2013:56). Time that is spent in meetings explaining the process is seen as interfering with teaching time and in the study by Bulawa (2013:61) 80 percent of heads of senior secondary schools who were interviewed revealed that no implementation was taking place because of these challenges. Bulawa (2013:62) says the study also revealed that school heads were not able to answer some questions that were asked by teachers about the current performance management system and this resulted in lack of confidence from teachers about the ability of their leaders to implement the programmes successfully. It also affected the confidence of heads on their ability to implement the performance management system effectively. The heads of schools found it difficult to explain the benefits of PMS to teachers and this has led to a lack of confidence on the ability of performance management to assist in the improvement of examination results and lack of commitment from senior management in the ministry also made teachers feel that it is not something that they should be committed to (Bulawa, 2013:63).

In a study conducted by Mothusi (2008:116) in the ministry of local government, the findings revealed that most employees did not embrace performance management practices. The respondents in the case study were of the opinion that the technical language used in the PMS was beyond the comprehension of most employees and it was a challenge for them to fully understand what they were supposed to do to effectively implement the system (Mothusi, 2008:116). The non- commitment of senior managers in the ministry also demotivated junior employees who end up seeing the initiatives as something that is not important. The performance based reward system that has been implemented in the ministry has not worked because those who deserve to be rewarded have not been rewarded because senior managers who are supposed to make recommendations for the rewards do not make the required recommendations (Mothusi, 2008:117). This demotivates high performers who end up not seeing the need to perform because of the lack of rewards. Junior employees who joined the ministry were informed by other junior employees that there was PMS in the ministry but lack of understanding prevents effective implementation (Mothusi, 2008:117). The findings of the study also revealed that the failure by senior managers to induct new employees on PMS has led to employees thinking that it is not an important programme in the ministry.

The two case studies generally reveal a general trend in the civil service in Botswana and Bulawa (2013:5) says most managers do not understand the concept hence ministries find it difficult to implement PMS effectively. Lack of rewards also demotivates employees and Botswana has not sourced for funds from international donors to fund PMS hence the shortage of resources to fund the programme. The present model which does not reward performance seems to have failed to improve performance and it might be better to come up with a model that recognises high performance and rewarding of performance.

The ministries of education and skills development and local government have been chosen because of their importance in Botswana. They are the biggest two ministries in the country. The ministry of education has been producing poor results at form five regardless of getting the largest share of the country's budget (Bulawa, 2013:5). The ministry of local government is regarded as one of the most important ministries in the country because of its administrative functions (Mothusi, 2008:116).

1.2 PROBLEM STATEMENT

Botswana faces a number of challenges in its quest to implement performance management in the public sector (Dzimbiri, 2008:53). They include lack of knowledge on performance management among employees as well as consultants who were supposed to spearhead training and coordination among different departments. Dzimbiri (2008:53) argues that most junior employees lack knowledge on what performance management is all about and this could be as a result of poor or lack of effective training. Those who were charged with the responsibility of training employees on performance management lacked expertise and training goals could not be achieved (Makgala, 2013:55). There was inadequate information on the concept of performance management let alone the implementation of it and the BNPC consultants were also learning and were ignorant about its implementation (Dzimbiri, 2008:53). The lack of specific guidelines on the preparation of objectives for individuals, appraisals, awards for performance, contracts and coaching created confusion (Makgala, 2013:56).

Management and junior employees both lacked commitment (Dzimbiri, 2009:53) and it becomes difficult for implementation to succeed in such a situation. The consultants who evaluated implementation of PMS for example observed lack of commitment by permanent secretaries on PMS (Dzimbiri, 2008:53).

Makgala (2013:57) argues that by design, top management are not committed to the principles of performance management principles of planning, measurement as well as appraisal because these are not used on top managers who work for the government in Botswana and Dzimbiri (2008:53) argues that top management view performance management as additional work rather than part of their responsibility. Performance is not linked to rewards and not much has been done to link individual performance to rewards because of resistance from top management (Dzimbiri, 2008:54). Senior management was used to doing things in a certain way and adapting to change became a challenge (Makgala, 2013:57).

The other challenge was lack of support for Performance Improvement Coordinators (Dzimbiri, 2008:54). They needed support because they also lacked knowledge and experience of implementing performance management systems in the different ministries. These officers had other duties and were demotivated by burdening them with additional duties without promotional prospects (Makgala, 2013:57). Funding was also another challenge. The funds that were made available were used to pay BNPC and there were insufficient funds to complete the PMS design (Dzimbiri, 2008:55). The section responsible for reforms under DPMS is composed of a few employees and as a result they are overworked. DPMS has a dilemma when it comes to decision making on DPMS issues because they lack authority to give directives to Permanent Secretaries on what should be done in their ministries regarding PMS (Dzimbiri, 2008:55).

The other challenge is reform fatigue. The multiplicity of reforms that take place at the same time or in succession confuse public servants and make them lose interest in implementation (Makgala, 2013:57). For example the public sector in Botswana has the following reforms among others: privatization, decentralization, performance management systems, performance based reward system and recently the balance score- card (Dzimbiri, 2008:56).

Andrews (2014:9) suggests that a number of issues should be addressed when implementing performance management and they include the involvement of stakeholders, leadership skills, employee inclusion, management interest and support, a culture that supports innovation, clear goals and system maturity. This would enable implementation to succeed and performance would improve. Many governments including Botswana have adopted PMS hoping to improve performance but efforts have not been made to review the effectiveness and impact of PMS in the public sector (McGuire & Garrish, 2016:48).

Performance management is said to be used for political gains (Lavertu & Moyniham, 2012 in McGuire & Garrish, 2016:48) and that performance management induces behaviours that induce measures that enhance performance but impact adversely on actual performance (Courty & Marschke, 2008 in Mcguire & Garrish, 2016:48; Heinrich & Marschke, 2010 in McGuire & Garrish, 2016:48).To the knowledge of the researcher, no study has been carried out in the public sector in Botswana to find out how performance management improves performance. This study seeks to fill this research gap. The Ministries of Education and Skills Development and Local Government in Botswana will be used for this study. The researcher is not an employee of the public sector in Botswana but is a resident of Botswana and has read numerous statements by top Government officials calling for improved service delivery in the public sector.

The implementation of performance management in the public sector in Botswana has not yielded the expected results of performance improvement. Factors such as lack of understanding the concept of performance management, lack of commitment and motivation from management has resulted in performance management initiatives failing to achieve results. Lack of linking individual performance to rewards has resulted in performance management initiatives failing to motivate employees because they have no expectations associated with improved performance. It is on this background that the study sought to find out how performance management improves performance.

1.3 THEORETICAL FRAMEWORK

Theory can be viewed as concepts that are interrelated as well as propositions that provide an explanation for phenomena. It guides practice and research, enabling testing of the theory. The theoretical framework of a study seeks to answer a number of questions including what the problem is and why the approach of the study would be able to find a solution to the problem (Oswick, Fleming & Hanlon, 2011: 320). This study will be grounded in the motivation theory such as the Needs Theory by Maslow (1954) and also by Alderfer (1972) as well as McClelland's (1975) theory because these theories focus on the motivation of employees to achieve objectives of an organisation (Winston, 2016:148). The cognitive theories focus on psychological processes of forces which influence motivation as it affects individuals' perceptions of their working environments and their interpretation of it is also relevant. Cognitive theories try to explain thinking patterns of human beings in deciding on how they

should behave under certain circumstances (Salaman, et al., 2005:34). They focus on thought processes that have to do with motivation. Three outstanding cognitive theories associated with motivating employees are the goal- setting theory, the expectancy theory and the equity theory (Cole, 2005:100).

Salaman et al. (2005:34) say that two outstanding theories relevant to performance management are the goal setting theory (Locke, 1968) and the expectancy theory (Vroom, 1964). The goal-setting theory says goals of an individual are important in motivating the worker to improve performance. Experts in goal - setting theory argue that the setting of goals enables an employee to be focused and come up with strategies that are geared towards the attainment of goals (Salaman et al., 2005:34). Goal-setting assists an employee to focus both their attention and action on coming up with strategies that will help the employee achieve set goals (Cole, 2005:101). Goal-setting motivates performance if the set goals have attributes that are viewed as appropriate by the employees (Cole, 2005:101). The goals should also be attained within a given time frame. The other essential element in goal setting is the feedback regarding results. This is why this is relevant to the study because innovative performance management is about setting targets and working towards the attainment of the set targets. Feedback is also important in performance management. The theory assumes that goals motivate an individual to improve performance and if the goals are challenging or difficult, this leads to increased motivation and performance (Lucas, Lupton & Mathieson, 2006: 175). The assumption is that if employees fail to achieve their goals, they improve their performance to achieve the goals or modify them to make them more realistic (Salaman et al., 2005:34). Improved performance would lead to the attainment of the goals of performance management. Goal commitment is affected by the expectancy theory's components which include effort – performance expectancy, performance – outcome expectancy and valence (Salaman et al. 2005:34). Goal commitment will be determined by the expected reward if the goal is achieved as well as the value of the expected reward to the employee (Cole, 2005:101). The goal setting theory is therefore relevant in this study in that it motivates employees to improve their performance to achieve set goals which is the objective of innovative performance management. In performance management employees set goals, perform tasks to achieve the goals and they get feedback on their performance. This makes the goal setting theory relevant to performance management.

The expectancy theory views individuals as having the ability to change their behaviour in a way that will enable them to attain organisational goals because they value the goals they have set (Herman, 2009:23). Employees in an organisation will change their behaviour so that they can attain the goals they have set. The theory assumes that individuals will basically look at three issues which are effort- performance expectancy, where individuals assess if the chances of their effort can lead to the level of performance that will enable them to achieve goals (Herman, 2009: 23). The other one is performance- outcome expectancy where individuals look at the chances that their effective performance is likely to make them get desired outcomes such as potential rewards (Herman, 2009:23). The rewards may be in the form of a good feeling that one has accomplished something, a promotion or a bonus (Cole, 2005:102). If the expectancy is high, this will result in the motivation of the employee. The third one is valence where individuals evaluate the expected value of outcomes and when the expected rewards are attractive to the individual, valence will be high and will be a motivating factor (Herman, 2009:23). If all the three elements have been assessed and the result is high for all of them, the employee will be motivated and performance will improve. If any of the three elements has a zero in the valence equation, the employee will be demotivated and performance will not improve (Cole, 2005:102). This theory assumes that the actions of individuals are based on how they view situations and if there are attractive rewards, then they will improve performance to get those rewards (Cole, 2005:101). The other assumption is that effort can result in improved performance and the application of more effort will also depend on how individuals view their situation (Cole, 2005:101). This theory is relevant to performance management because of the assumption that performance is enhanced by future expectations (Salaman et al., 2005:63).

Both the goal setting theory and expectancy theory are based on the assumption that people think rationally, make individual calculations and make logical conclusions. These two theories are relevant to this study because their focus is on achievement of goals through improvement of performance and this study aims at assessing how innovative performance management improves performance. Motivation theory will therefore enable the research questions of this study to be grounded in theory.

1.4 RESEARCH QUESTIONS

1. What is the context of performance management in the public sector in Botswana?
2. What is the theoretical and conceptual framework for performance management?
3. How does innovative performance management impact on the performance of employees?
4. What challenges are confronting the Ministry of Education and Skills Development and the Ministry of Local Government in performance management?
5. What challenges are confronting the Ministry of Local Government in performance management?
6. Which model for innovative performance management would be suitable for the public sector in Botswana?
7. What conclusions and recommendations can be made?

1.5 RESEARCH OBJECTIVES

Primary objective

This study aims at determining how innovative performance management improves performance in the public sector.

Secondary objectives

1. To determine the context of performance management in the public sector in Botswana.
2. To review the theoretical and conceptual framework for performance management.
3. To determine the impact of innovative performance management systems on the performance of employees.
4. To examine the challenges confronting the Ministry of Education and Skills Development in performance management.
5. To examine the challenges confronting the Ministry of Local Government in performance management.
6. To develop a model for innovative performance management for the public sector in Botswana.
7. To make conclusions and recommendations

1.6 LITERATURE REVIEW

The aim of literature review is to locate and analyse documents that have information that is relevant to the research problem (Alexander & Bennett, 2005:67). A researcher has to review related literature to find out what has been done in the area that one is attempting to research on. This assists the researcher from duplicating someone's research and more importantly gives the researcher the understanding and insight that one needs to place the researcher's topic within a logical frame (Neuman, 2007:115)). The literature review in this chapter addresses the research questions and focuses on motivational theories and how they affect performance. Motivation theories include goal theory, expectancy theory, reinforcement theory and self-efficacy theory. Maslow's needs theory, the ERG theory developed by Alderfer, the achievement theory by McClelland and the Equity theory are also included. Literature on performance management is also reviewed. A number of sources were consulted including Lai (2011), Lunenburg (2011), Ghanbarpour & Najmolhoda (2013) and Andrews (2014). Other sources include Haque, Haque & Islam (2014), Kian, Yusoff & Rajah (2014), Ganta (2014) and Reem (2011).

1.6.1 The concept "Performance Management"

Andrews (2014:3) describes performance management as policies, strategies and techniques that are meant to direct the attention of organisational employees towards enhanced performance. From a public sector perspective, performance management can be viewed as an approach implemented for the improvement of results emanating from effective decisions being made organisational learning and accountability for the performance of each employee to achieve improved results for the public (Nytes, 2010:3).

1.6.2 Performance improvement

One of the things to be considered when initiating performance management is the desire to improve (Andrews, 2014:4). This desire should then be communicated to stakeholders. Communication is an important tool for organisational change. An effective communication effort involving all stakeholders should be set up so that all parties can gain understanding for the support of the new programme (Nytes et al., 2010:15). When planning to introduce performance management, communicate the plan to gain understanding and make sure that stakeholders have the facts to enlist their support (Nytes et al., 2010:15). Information to be communicated should

identify the aim of implementing performance management in an organisation (Vigoda-Gadot, et al., 2010:66).

1.6.3 Management Support

Implementation of performance management initiatives needs the support and involvement of all stakeholders including top management (Nytes et al. 2010:16). Leaders should adopt a vision for performance management that ensures how all parties will benefit from such an initiative (Nytes et al. 2010:11). The case for performance management should be presented to relevant decision makers to get their support, authorisation and secure resources (Mucha, 2011:56). Leadership should convince employees that the performance management initiative has become a way of doing business in the organisation (Vigoda-Gadot et al., 2010:67). Leadership should identify people who have experience and possess knowledge on various issues regarding performance management to support the initiative (Mucha, 2011:56). An organisation's capacity can be built by sending certain individuals for training, employing experienced individuals or by requesting individuals within the organisation to acquire expertise in performance management (Mucha, 2011:57). During implementation, monitoring is important so that necessary adjustments can be made (Bourgon, 2009:12). The interests of employees should be taken into consideration and aligned with the objectives of the department (Bourgon, 2009:13). Leaders should be creative, comfortable with ambiguity and experimentation, they should also have the ability to connect with, inspire employees, lead and be able to interact in entirely new ways (Hamel, 2009:91).

1.6.4 Organisational Culture

Organisational and structural issues should be considered before implementing performance management. Strategies on how to address these issues should start before implementation (Mucha, 2011:58). Those in charge of initiating performance management need to consider the culture of the department and take note of possible hindrances that may affect implementation (Hamel, 2009:92). Issues such as the department's capacity to change and how the department has reacted to change in the past should be considered as well as assessment for implementation risks (Mucha, 2011:57). Implementation risk assessment should include the environmental threats such as people, cultural factors and finance (Andrews, 2014: 4). Such an assessment would enable those who plan the implementation to come up with strategies on how to react should these threats surface. Regardless of the justification for implementing performance

management, acceptance levels will vary (Vigoda-Gadot et al., 2010: 76). Some individuals will drag their feet or actually refuse to play any role in the initiative. Those in charge of the programme should have strategies of managing resistance by developing relevant responses (Vigoda-Gadot et al., 2010:76).

The findings of a study conducted by BIDPA (Kaunda, 2013:2) revealed that there were fundamental structural and organisational problems that affected implementation in Botswana's public sector. They include unclear functions, roles and responsibilities between Central Government and Local Government, line officers not sure of policy objectives and expected outcomes and lack of required skills to achieve objectives. Successful implementation of performance management involves assessing the capacity of the department to implement change, assessing the risks and culture, communicating the initiative to all stakeholders, getting management and employee support and addressing issues of concern to minimize resistance (Mucha, 2011:57).

1.7 RESEARCH DESIGN

A research design assists in guiding the researcher on collecting and analysing the data of a study (Dillman, 2000:45). It articulates what data is required, the methodology to be adopted by the researcher to collect and analyse data, and how the research questions will be answered by all these activities (Dillman, 2000:45). Research design is important because of the role it plays in linking theory and the issues that informed the research (Neuman, 2007:106). The researcher's choice of a research design shows the importance attached to various issues of the research process (Neuman, 2007:107), and this influences procedures of methodology such as statistical packages and sampling. It enables researchers to get answers to the questions of a research. This study used the qualitative method of data collection. Interviews were used to collect data from participants of the study.

1.7.1 Population of the study

The population of this study was made up of employees of the Ministries of Education and Skills Development and Local Government stationed at the headquarters of the two ministries in Gaborone. The employees at headquarters of the two ministries are 297 and 301 respectively. The rationale for choosing headquarters is that this is where top management of the two ministries is found and performance improvement personnel of the two ministries are also based

at Headquarters. Those who were not working at head office of the two ministries were excluded because the assumption of the researcher was that most of the performance management initiatives started at head office.

1.7.2 Sampling

Sampling can be viewed as a selection of a fraction of the total population. (Neuman, 2007:141)).The sample for the study comprised 32 management staff from the two ministries and 48 non-management officers from the two ministries making a total of 80 respondents. The study adopted qualitative purposive /judgmental sampling. This method selects individuals or groups of individuals on the assumption that they will be able to answer research questions regarding the issue at hand (Collins, Onwuegbuzie & Jiao, and 2007: 27). Qualitative purposive sampling assumes that some participants are more informed and can provide more insights on an issue under study than others (Guest, Bunce &Johnson, 2006:49; Green, 2001:47). Purposive sampling allows the researcher to decide and select individuals or groups who are likely to be more informed on the issue under study and these are invited (Abrams, 2010:538). This implies that the process is not random but “purposive”. The justification for choosing management staff was that they were generally responsible for initiating and evaluating performance management practices. The other 48 non-management staff was responsible for training and implementing performance management practices and was therefore relevant as respondents for this study. The sample of 80 is justified in a qualitative study to minimise a point of diminishing return where additional data might not necessarily lead to new information (Mason, 2010:1) and one occurrence of a piece of data in a qualitative study is enough to ensure that it becomes part of the analysis framework. Green & Thorogood (2009:120) argue that the experience of most qualitative researchers is that little new data is obtained after interviewing 20 people or so. This justifies the figure of 80 participants.

The sample from the Ministry of Education and Skills Development which was interviewed by the researcher included 16 management officers made up of the following: two officers responsible for Formulation of Strategy/Annual Plans; two officers responsible for Coordination of Reform Initiatives; two officers responsible for Evaluation of Performance Reviews; two officers responsible for Coordination of Performance Standards; two officers responsible for Development Planning; two officers responsible for Policy Development; two officers

responsible for Monitoring and Evaluation ; two officers responsible for Educational Research and Evaluation. The focus group was made up of the following: two officers from the Planning and Research Services; two officers from Curriculum Development and evaluation and one officer from School Supervision.

Local Government management officers included the following: four Performance Improvement Coordination officers; three Business Process Re-engineering officers; three Projects Implementation & Management offices; three Policy Development and Monitoring officers; three Development Planning Coordination officers. Non-management officers will include the following: five officers in the Strategic Management section; five officers from Research section; five officers from Customer Satisfaction Surveys section; four officers from Social Welfare Services; five officers from Performance Improvement Section. The focus group included two performance coordinators, two project implementation officers and one performance improvement officer. All the above positions are relevant to the improvement of performance in the two ministries. Saturation will be used to validate the data where no new information or concepts will emerge from the interviews and focus group discussions. Data saturation is achieved if information is adequate to replicate the study, if the possibility to get new information has been exhausted and when the possibility of further coding is no longer possible (Fusch & Ness, 2015:1408).

1.7.3 Instrumentation

In qualitative research, the research instrument is the researcher (Golafshani, 2003:45). The researcher therefore conducted active interviews on site with 32 management staff of the two ministries selecting 16 from each department. The researcher went to the two ministries to ensure that participants did not incur any expenses. Active interviews are semi – structured. They are conversational and they allow respondents to narrate their experiences while keeping focus (Caton & Santos, 2007:68). The interviews focused on what the ministries did to improve performance through performance management. To get more information from the participants, the researcher probed with follow- up questions. Focus group discussions were also conducted with one group of employees from each department and the venue was the workplace of the participants. Each focus group was made up of five employees. Small groups allow every group member to participate in the discussion. The advantage of conducting focus group discussions is

that the group is able to generate data that would be difficult to get without the discussion that goes on in a group context (Dixon, 2007:72; Farnsworth & Boon, 2010:56). Focus groups can provide data that one may not be able to elicit from individual interview situations and numbers make some individuals agree to participate in a study where they would not have agreed if they were to be interviewed as individuals (Wibeck et al., 2007:43). Data and methodological triangulation was used to test reliability and validity of data collected (Denzin, 1978:45). Data was obtained from different participants who were not at the same place and it was obtained at different times. Interviews and focus group discussions were carried out at different times for the purpose of collecting data.

1.7.4 Data Collection

From each ministry data was collected from 16 management officers through face-to - face interviews and 24 non- management officers through focus group discussions, making a total of 80 participants. The researcher conducted the interviews and facilitated the focus group discussions at the work place of the participants. In a focus group discussion, the researcher should try and create a relaxed atmosphere that will not threaten the participants (Gibson, 2007:47). The researcher audio - recorded the discussions. The participants were selected on the basis that they have common features of either implementing performance management in the departments or supervising subordinates to implement performance management practices in the departments (Gibson, 2007:47). During focus group discussions the researcher encouraged the participants to question each other and be open- minded.

1.7.5 Data analysis

The aim of analysing data is to enable the researcher to summarise it and be able to get answers to the research questions. Qualitative methods generate a lot of data which requires in depth analysis. The researcher used NVivo software to create a data base for the interview notes, audio recordings and conversation notes. The software organised, classified and coded data and also provided interpretations (Jia, 2011:38). Qualitative data analysis process enables the researcher to identify key themes (Jia, 2011:38). Qualitative data was analysed to identify key themes following a number of stages which included assembling the data, getting an intuitive feel of it, open coding, axial coding, selective coding as well as refining and relating themes (Braun &

Clarke, 2006:67; Conaway & Wardrope, 2010:45). NVivo was also used to observe data represented in graphs and maps and assisted in reporting the findings of the interviews.

1.8 LIMITATIONS and DELIMITATIONS

One of the limitations is that the study was limited to two government ministries and the findings may not necessarily reflect the general trend in all the ministries. Time and finances also limited the researcher from visiting other offices of the two ministries and that resulted in the exclusion of findings in those areas and such findings would perhaps have been important.

The study was delimited to two government ministries in Botswana. The departments are Education and Skills Development and Local Government. It would have been ideal to include all the ministries to get a complete picture but because of time constraints, that was not possible. The private sector was also not included in the study because it is out of the scope of this research. However, it would have enriched the research to find out if the implementation of performance management in the private sector resulted in improved performance. Literature review addressed the research questions. Literature that did not address the research questions was not included in the study as it falls out of the scope of the study.

1.8 SIGNIFICANCE OF THE STUDY

The study investigated the issue of performance management focusing on how innovative performance management improves performance in the public sector in Botswana, an area where very little has been done (Dzimbiri, 2008:56). The study also put employees in a unique position that is not usually assigned to participants in innovative performance management studies. Instead of representing respondents as people who complete a given questionnaire where the researcher has provided responses for them to select, they were in this study represented as individuals who are able to speak on their own terms (Osagie & Buzinde, 2011:212) on knowledge derived from lived experiences.

The study also contributed to available literature on the role of innovative performance management in improving performance (Andrews, 2014; Vigoda-Gadot et al., 2005; Roste, 2005; Cankar & Petkovsek, 2013; Cheche & Muathe, 2013). The area of PMS in the public sector has also become important because of the demand for the sector to improve customer satisfaction (Daglo, Gerson & Kitchen, 2015; Kartel et al., 2013; Serensen & Torfing, 2012). The

study also portrays Botswana as a player in innovative performance management and this role is not generally linked with some African countries.

To the public sector in Botswana, the study is important because the issue of performance improvement has become a priority with government officials calling for improved performance among public service employees to satisfy customers. The innovative performance management model for Botswana developed by this study might alleviate some of the performance challenges that the public sector has been experiencing.

The findings of this study are likely to help stakeholders on performance management in Botswana to implement some of the recommendations as part of their quest to improve performance in the public sector. The researcher strove throughout the discussion of this study to maintain relevance based on an applied business perspective and enabled the practical implications of this study to assist in performance improvement in the public sector in Botswana. The researcher was requested by the two ministries to provide the findings of the study and the researcher will aspire to comply with the request.

1.10 RESEARCH ETHICS

The researcher took into consideration a number of ethical considerations. O' Leary (2004: 44) says a researcher should decide whether the scientific and social benefits of carrying out a research outweigh the resultant risk to the respondents who will take part in the research. It is the view of the researcher that the scientific and social benefits of the research did not expose the participants to any risk because the interviews and the focus group discussions were conducted at the workplace of the participants. The researcher first let the officers aware of the intention to carry out a study and allowed them about two days to make a decision to either participate or not to. Those who were willing were then requested to sign a written consent indicating that participation was voluntary. The form was written in simple language to avoid misunderstanding. Most of the officers at headquarters had been involved in research, have degrees and were aware of voluntary participation. The researcher considered the privacy of respondents and made sure that the questions asked did not transgress into the privacy of those individuals or dehumanise the respondents. The purpose of the research was made known to the respondents so that they participated fully informed of the purpose of the study. The study did not purposely deceive respondents. The consent form also indicated that focus group members should be aware that

confidentiality may not be guaranteed because some group members may disclose what was discussed to other staff members outside the group. Audiotapes were securely locked up by the researcher and destruction of the audiotapes would be secretly done after the completion of the study. The research was also guided by the following ethical considerations:

The study was conducted in a way that preserved and maintained the integrity of the research to avoid any negative after-effects that may damage the potential of any future research. Results of the study were accurately reported to represent the data provided by the respondents (O’Leary, 2004:51). The study respected local standards, customs, rules and regulations. The researcher applied measures to make sure that confidentiality of information is respected and the identity of respondents is not disclosed.

1.11 SUGGESTED CHAPTER LAY OUT

The first chapter presents the introduction and background of the study. It also includes the problem statement and the research objectives. The second chapter looks at the theoretical and conceptual framework for performance management by presenting motivation theories that underpin performance management. The relationship between performance management and motivation is explored at length in this chapter in an attempt to show that performance management aims at improving employee performance and that when employees are motivated performance is likely to improve. The third chapter focuses at the impact of innovative performance management on the performance of employees in the education and local government ministries in Botswana. Its impact in different countries is also reviewed. The fourth chapter looks at the challenges confronting the Ministry of Education and Skills Development in innovative performance management. The chapter also reviews existing literature on challenges that are confronting the ministry on the implementation of innovative performance management and presents findings specific to this ministry.

The fifth chapter looks at the challenges confronting the Ministry of Local Government in performance management. The chapter also reviews existing literature on challenges that are confronting the ministry on the implementation of innovative performance management and presents findings specific to this ministry. The sixth chapter presents a new innovative performance management model for the public sector in Botswana and justifies why the model is suitable for the sector. The seventh chapter presents conclusions and policy implications.

CHAPTER TWO

THEORETICAL AND CONCEPTUAL FRAMEWORK FOR PERFORMANCE MANAGEMENT

2.1 Introduction

The previous chapter gave the background of this study and went to outline the problem statement of the study; research questions; research objectives; hypotheses of the study; explained the concept performance management; presented a brief literature review; methodology and limitations of the study.

This chapter presents a theoretical and conceptual framework for performance management by focusing on motivational theories and contextualising their importance or relationship with performance management. The chapter attempts to show how motivational theories are related to performance management. The implications of the theories are also reviewed in an attempt to link the theories to implementation of successful innovative performance management that would result in performance improvement. The motivational theories to be reviewed include the goal setting theory; expectancy theory; equity theory; reinforcement theory; social learning theory; Maslow's hierarchy of needs theory; two-factor theory; ERG theory and the acquired needs theory.

The theories can be divided into two groups, namely process theories whose focus is on cognitive processes and content theories whose focus is on needs of individuals (Parijat & Bagga, 2014:3). Process theories include goal-setting theory, expectancy theory, equity theory and reinforcement theory (Parijat & Bagga, 2014:3). Content theories include Maslow's hierarchy of needs, Herzberg's two-factor theory and McClelland's theory of needs (Parijat & Bagga, 2014:4). Theories on motivation address a number of issues regarding performance management. For example the goal setting theory answers the question whether performance standards exist and on the other hand control theories provide a solid argument on the critical assessment of feedback elements of approaches of performance management (Parijat & Bagga, 2014:4).

The chapter also focuses on innovation theory and its relationship with performance management. Literature on the theory of innovation is explored in the chapter. Reasons and

motivation for innovations in the public and private sectors are also discussed with particular reference to the individual and organisational motivation. The chapter also addresses innovative performance management in the public sector and explores views on why the public sector needs to be innovative in performance management.

The chapter then focuses on performance management models that are used by a number of international organisations. Models include those used by organisations such as Astra – Zeneca Company, Pfizer Inc, Standard Chartered Bank, BP Lubricants and other organisations (Armstrong, 2009: 184).

Lastly the chapter reviews models of performance rewards that include pay-for-performance; individual incentive plans; merit pay programmes; group incentive plans; tournament wage model; efficiency wage model and bonding wage model. Implications for performance based reward systems will also be discussed.

2.2 COGNITIVE/PROCESS THEORIES

Cognitive or process theories of motivation focus on cognitive processes and they take place in the minds of individuals as a way of motivating them. The basic assumption of these theories is that employees become motivated if their expectations, needs, values and comparisons are addressed by organisations (Lynne, 2012:10). The theories address sources and causes of individual behaviour, motives that influence the intensity and direction of employee behaviours (Lynne, 2012:10)

2.3 GOAL – SETTING THEORY

Goal theory developed by Latham & Locke (1997) gives four mechanisms that associate goals to performance (Armstrong, 2009:28). Goals direct individual attention to priorities; they stimulate effort; they challenge individuals to bring their knowledge and skills to bear to increase their chances of success and when goals are challenging individuals will draw more of their skills to achieve set goals (Armstrong, 2009:28).

The assumptions of the goal – setting theory are that goals affect the behaviour of individuals and if goals are specific and difficult, they enhance the performance of individuals (Martin, McNally & Taggar, 2016: 93). For that to actually happen, the theory says that individuals should be motivated by a belief that the current performance is not the desired goal. Individuals

are able to compare their current performance to the desired goal (Krenn, Wurth & Hergovich, 2013: 79). If the goal is not specific, it becomes difficult for individuals to evaluate their performance. When one evaluates their performance, they are in a position to regulate their behaviour and compare their performance to the set goals so that they can reduce deviations between their current performance and the outcomes that they desire (Cellar et al., 2011: 469; Krenn et al., 2013:81).

Goal-setting can be viewed as a process that reduces discrepancies between current performance and the desired goal and it assists the individual to focus on effort increased attention (Martin et al., 2016: 94). By focusing on goals an individual can minimize discrepancies between current performance and the desired goal resulting in increased persistence (Martin et al., 2016:94), and the enhancement and use of relevant knowledge and skills (Cellar et al. , 2011:470).

Self-efficacy is also important and the individual should have self-belief that one can achieve the set goal. Goals also mediate the effects of other motivating variables such as the personality traits of an individual, job autonomy and participation in decision making as well as feedback (Palfrey, Buchs & Butera, 2011: 688). The importance of feedback is that it enables individuals to track their progress and their commitment to the goal.

Alignment of priorities enhances individual performance (Walker, 2013:679) and the principal agency theory also supports the assumption that goal alignment leads to improved performance (Andrews et al. 2013: 80). The goal – setting theory assumes that individuals are more likely to be motivated if they are clear about what they want to achieve and are also aware of what is expected of them. The theory also assumes that goals that are specific and attainable result in improved performance and that there is a relationship between goal difficulty and the performance of the task (Ayers, 2013:491; Marrelli, 2011:7).

When goals are set, it is important to align the goals to the strategic goals of the organisation and this communicates to the employees the importance of the strategic goals of the organisation (Andrews et al., 2013:82). This also assists the employees to realise how their daily activities will result in the strategic goals of the organisation and employee performance appraisal focuses on the attainment of organisational goals (Ayers, 2013:491). It is important for employees to note that their performance is linked to and supports organisational goals (Marrelli, 2011:7). Cappelli

and Tavis (2016:59) argue that in the traditional model, it was easy to align individual and organisational goals because objectives and strategies cascaded down the organisation and individuals had to set objectives that reflected the strategy of the organisation. Such an approach is easy to follow if organisational goals are simple enough to be understood by employees and the goals remain constant for some time (Cappelli & Tavis, 2016:59). The challenge these days is that individual goals may be set for specific projects and tasks may change as projects progress making it difficult to align individual goals with the goals of the organisation (Cappelli & Tavis, 2016:60). Some goals may have to be short term and change from time to time as the market changes.

Four factors that moderate the goal performance relationship are goal commitment, feedback on the progress of accomplishing a task/ goal, the complexity of the task and the availability of resources (Palfrey et al., 2011: 693). An individual's self - evaluation assists one to be committed to the goal and motivates the individual to put more effort in order to achieve the desired goal (Monzani et al., 2015:307).

Regardless of a lot of knowledge that has been accumulated on the consequences of goal commitment, very little is known about its antecedents (Burkley et al., 2013:661). To add to that is the controversy surrounding the specific role of self – evaluation in generating the goal – performance effect (Burkley et al., 2013: 661) but studies have shown that self–evaluation influences individuals to set their goals as well as their level of difficulty (Day & Unsworth, 2013:8).

It is important for public sector managers to understand how goals facilitate performance. Performance management involves the setting of goals and employees perform tasks to achieve those goals. The performance of employees is then measured against the set goals and feedback is then provided to the employees on how they performed (Agarwal, 2011:8). Rewards are then given to employees and these are based on how employees have performed in meeting set goals. Public sector managers can therefore use the goal–setting theory to manage and reward employees for performance.

The goal–setting theory explains how employees can be motivated to improve performance. Goal–setting is said to direct attention and action, increase persistence and effort as well as

motivating employees to come up with strategies that will enable them to achieve set goals (Jordan & Audia, 2011:227). The feedback that employees get on their performance also motivates them.

In order for goal-setting to succeed and motivate employees, it is important that the set goals have appropriate attributes. The goals should therefore be specific, measurable, challenging and relevant to the work as well as attainable (Jung & Lee, 2013:789). The goals should also be time-limited (Jung & Lee, 2013:789).

Challenging and difficult goals result in higher performance (Walker, 2013). If the goals are acceptable to an individual, one would work harder to overcome the challenge that one is facing (Krenn et al., 2013:80.). The relationship between goals and performance is that challenging goals lead to greater effort than would goals that are moderate or less challenging (Thorgren & Wincent, 2013:2320). Goals that are difficult assist individuals to direct attention and effort as well as strategies for achieving those goals (Kleingeld, Mierlo & Arends, 2011: 1293). Goals assist individuals to direct their attention towards the attainment of those goals and in that respect they act as a motivator. The more challenging goals are, the more individuals are likely to achieve. The key issue is for an individual to be committed to the goals. Challenging goals bring more satisfaction to individuals when they achieve the goals (Gomez-Minambres, 2012:1287). Goals can be perceived as a determinant of employee satisfaction because they make individuals develop a sense of achievement (Gomez-Minambres, 2012:1287). Goals act as a reference point for self – satisfaction (Kock & Nafziger, 2011:215). Less challenging goals can only be rewarding to individuals who have low personal standards and those with higher personal standards feel rewarded when they achieve demanding goals (Kock & Nafziger, 2011:215).

For an individual to perform a task, ability and motivation are important and goal attainment depends on one's knowledge and skills to perform that task. Goals therefore motivate an individual to use the knowledge that one has to perform a certain task. Goals may also encourage an individual to seek new knowledge so that one is able to perform a certain task. This may take place if an individual is confronted with a new and complex task (Walker, 2013:679).

In as much as goals should be challenging, they should be attainable. If employees have challenging but attainable goals, this is likely to promote sustained performance over a period of

time rather than requesting them to try and achieve goals that are impossible (Heinrich, 2012:129). The performance of individuals is enhanced when goals are challenging than when goals are easy (Heinrich, 2012:129). Goals should also be specific and measurable to enable employees to clearly understand what is expected and be in a position to know when they have achieved a goal (Thorgren & Wincent, 2013:22). This could be easily done if goals are stated in quantitative terms to enable easy verification of goals (Thorgren & Wincent, 2013:22). It also becomes easier to judge if a goal has been achieved or not subjective.

Goals should also have a time- limit. There should be a limit in terms of when a goal should be achieved (Wincent & Ortqvist, 2011:709). If there is no time–limit employees may relax because the assumption would be that they will accomplish the goals at any time because of the lack of a definite time period. Employees are likely to support goals that are relevant to the work of the organisation.

Goal commitment, which is the determination of the employee to achieve a goal, is also important in the goal – setting process (Heinrich, 2012:130). Employees are likely to be more committed to the goal if their expectations of achieving the goal are high and they see a strong link between goal accomplishment and rewards and they also value the rewards (Jung & Lee, 2013:791). If there is no goal commitment, the setting of challenging and specific goals will not improve performance because employees lack commitment to organisational goals. There are five factors that may influence goal commitment among employees and these are supervisory authority, public display of commitment and group pressure, expectations of success and incentives and rewards (Lindberg & Wincent, 2011: 2640; de Vries, Pathak & Paquin, 2011:783).

Goals and self–efficacy have the potential of motivating an individual and this could be assisted by other variables such as personality traits, reward incentives, job autonomy, being involved in decision making as well as feedback (Thorgren & Wincent, 2013:22). Feedback has an important role in the goal – setting theory because it allows individuals to track their progress on a given task as well as their commitment to the goal (Lock, Staack & Thiesse, 2013: 1315).

Employees generally commit themselves to goals and reasons for those goals if they are explained by an individual who has a supervisory position in an organisation (O’Toole & Meier,

2011:13). If goals are assigned by a supervisor and their importance and relevance is explained, the employees are more likely to be committed to the goals. A supportive rather than authoritative supervisor when giving and explaining a goal to employees is likely to make employees commit themselves to the goal (Martin et al., 2016: 91). It should however be noted that goals can still be effective even when they come from different sources such as peers or set through joint participation or by the individual who is to achieve them (Lavigne, Forest & Crevier-Braud, 2012:78). When an employee has set his/her own goals, they act as a self – regulation instrument (Stenseng, Rise & Kraft, 2011: 77). If goals are set by a group there might be complexities where members might have goal conflicts (Belanger, Lafreniere & Schumpe, 2016: 67). When an individual sets goals for a group one should consider the compatibility of the goals to the group and if they are, performance will be enhanced but if they are not, performance will be negatively affected (O'Toole & Meier, 2011:14). When setting goals as a group, there is an opportunity for sharing information relevant to the task. Feedback is also important to a group and it is known to enhance performance of the group.

Individuals with a learning goal orientation are said to generally choose tasks that enable them to acquire knowledge and skill. Individuals with a performance goal orientation seem not to be interested in tasks that would make other people judge them negatively for failure to attain goals (Kopetz et al. 2011:815; Klein, 2011:43). The tendency is for them to choose easy tasks that would make them be perceived as effective by other people. Performance can still be high on a complex task if an individual has a learning goal orientation and also includes a learning goal (Kruglanski et al., 2012:11). An individual with a learning goal orientation is said to have a positive impact on performance and work related behaviours (Belanger et al. 2013:96). An individual who has a learning goal orientation fits very well in today's organisations which require employees who are able to solve problems, proactive, creative and can easily adapt to new and changing environments (Chun et al, 2011:1130).

The pressure from peers and team members can enhance goal commitment. If all the employees are focused on the goals, it becomes difficult for an individual not to be committed to the goals of the organisation (Bonniville-Roussy, Lavigne & Vallerand, 2011: 125). The interest shown by peers or team influences everyone to be committed to the goals. Individuals who have done well may also become role models for other employees. However, it should be noted that peer or team

pressure can also detract employees from goal commitment especially if the goals are viewed as unfair (Humphrey, 2011:1711).

Commitment to challenging goals is higher when the commitment is made in the presence of other employees than if it were made privately (Humphrey, 2011:1711). When employees perceive higher expectations of success, commitment to goals is also enhanced. Employees become more committed to organisational goals if they think there is a good chance that they will be able to achieve the goals but if they perceive that the goals are not attainable, they are likely not to be committed to the goals (Kanfer, Frese & Johnson, 2017: 4).

Incentives and rewards play a big role in goal commitment. The incentives that are offered during the goal – setting process enhance goal commitment (Belanger et al. 2015:94). Tangible monetary incentives may be offered during the goal – setting process, other incentives may be intangible such as the challenge of the job, feedback, anticipated positive feelings about successful accomplishment of task, competition as well as anticipated recognition for achieving the goal (Belanger, 2013:95). Negative outcomes can however, inhibit goal commitment and managers should make sure that goal attainment is not linked to unfavourable results. Involving employees in the goal-setting process may also enhance goal-commitment. If employees are involved in the process, they may develop plans for implementation for goal attainment. This may enhance goal commitment.

The choice of a goal may be influenced by self-efficacy, previous performance and other social effects (Forest, 2011: 21). At times specific and difficult goals do not necessarily lead to improved performance than encouraging individuals to do their best (Forest, 2011:21). An individual's attempts to attain a specific performance outcome on a difficult new task could result in "tunnel vision" which is an attempt to focus on attaining the goal rather than learning the skills needed to attain it (Kanfer et al., 2017: 5). If such a situation exists, it would be better to include a goal for acquiring the knowledge for attaining the goal.

When individuals are assigned difficult goals, this may not be effective if the goals are viewed by the individuals as threatening (Kanfer et al., 2017:6; Zacher & Frese, 2015: 45). This is known as framing and one type of it is viewed in terms of gain versus loss (Kanfer et al., 2017: 6). The viewing of a goal as a challenge versus a threat affects performance. If a task presents

new challenges with difficult goals, individuals who view the situation as a threat are likely to perform lower than those who look at the situation as a challenge (Kanfer et al., 2017: 6).

2.3.1 Hierarchy of goals

Organisational goals are generally at three levels and these are strategic, tactical and operational goals (Ferris et al., 2013: 347; Johnson et al., 2015:1570). Strategic goals are usually set by senior managers in an organisation. They generally cover the entire organisation and in most cases they are stated in fairly general terms. They can be referred to as official goals because they are set by top managers (Molden 2012:1139). At this level managers are encouraged to set goals in eight major areas and these are market standing, innovation, human resources and financial resources. The other areas are physical resources, productivity, social responsibility and profit requirements (Molden, 2012:1139). When implementing performance management the vision and mission of the organisation are the responsibility of senior management implying that the goal setting theory assists managers to implement performance management as it directs them on who should formulate which goals.

Tactical goals include future end results and they are usually the responsibility of middle managers for specific organisational departments or units. The purpose of goals at this level is to inform departments on what has to be achieved in order for strategic goals to be achieved (Roe, 2014:71). Tactical goals are derived from the strategic goals. They are stated in a way that is more measurable than the strategic goals of an organisation. Guidelines for performance implementation also suggest the setting of departmental goals as the responsibility of line managers.

Operational goals are targets set by lower managers and focus on measurable outcomes for lower level or production employees (Ziffiano et al., 2013:32). They enable the achievement of strategic and tactical goals of an organisation. Performance management guidelines also emphasise the setting of performance goals as the responsibility of the employee (Armstrong, 2005:489).

The three levels of organisational goals form a hierarchy of goals. There is need for the goals at each level to be synchronised to enable the achievement of the more important goals of an organisation (Sonnentag & Starzyk, 2015:813). If goals are arranged in such a hierarchy, the

operational goals will lead to the attainment of tactical goals and the realization of tactical goals will lead to the attainment of strategic goals (Yang, 2016:836). The synchronisation of goals at each level enables an organisation to have a coordinated effort in achieving the overall goals of the organisation. This is also the procedure in performance management as the achievement of individual or team goals will lead to the attainment of organisational goals (Armstrong, 2005:496).

There are limitations of the goal-setting theory that managers should be aware of. Associating the achievement of goals with monetary rewards may influence individuals to establish goals that are not challenging (Park & Berry, 2014:768). This could also be true with performance management where individuals may set easy goals so that they get rewarded because challenging goals may be difficult to achieve and they miss out on the rewards (Swanepoel, 2014:429). When employees set targets supervisors should be aware of such situations. The setting of goals may make employees focus on a narrow range of issues that will be measured and ignore some aspects of performance that are not easy to measure (Park & Berry, 2014:768). The setting of performance goals is easier in established jobs but may not be that easy when individuals are learning a new job that is complex (Yang, 2016:837). When implementing performance management supervisors may assist inexperienced employees in setting performance goals because they may come up with unrealistic targets.

2.3.2 Implications of the goal theory in the implementation of performance management

The goal setting theory underpins the emphasis on performance management on setting and agreeing objectives against which performance can be measured and managed (Armstrong, 2009:28). Goal theory supports the agreement of objectives, feedback as well as the review aspect of performance management (Armstrong, 2009:29).

Goals assist individuals on what needs to be achieved so that employees are able to set certain levels of performance that will enable them to achieve set goals. Goals allow employees to determine how well they are doing in pursuance of the set targets so that if there is need to make adjustments in effort or direction, this is done so that goals can be achieved (Armstrong, 2009:29). Goals assist employees to gauge themselves if the effort they are exerting will result in the completion of tasks at the agreed time frame.

Goals have a number of benefits. One of them is that they can increase performance (Reeve & Lee, 2012:36.). When the goals are challenging, employees increase their performance by between ten and fifteen percent or higher (Reeve & Lee, 2012:36). Goals also assist in clarifying expectations. Goals enable employees of an organisation to be aware of the results that are expected. They provide direction and enable employees to be focused on their tasks so that they achieve the set goals.

The implementation of performance management has a number of components and one of them is planning for performance which includes goals to be accomplished by the employee. When goals that have been set are challenging they motivate the employee to improve performance and achieve the set goals. This assists the organisation to achieve its overall goals because of the extra effort that employees put to achieve set goals. The goal setting theory assumes that set targets drive and direct the employee towards the set goals and performance management uses the same principle of the goal setting theory to motivate employees towards the achievement of set targets leading to improved performance.

Goals also provide the controlling function because they can be used as benchmarks for monitoring progress towards the attainment of goals and identifying if there is need for corrective action (Zhang & Risen, 2014: 23). In this situation employees use goals to gauge themselves if they are making good progress towards the attainment of goals and managers can also use them to maintain control over the activities of the organisation (Zhang & Risen, 2014:23; Reeve & Lee, 2012:36; Bindl et al. 2012:138). One of the roles of a supervisor in the management of performance is to monitor performance and observe if there is progress towards the attainment of goals which is what is the guiding principle of the goal setting theory. Performance management requires the supervisor to assist the subordinate by monitoring performance to gauge if there is progress towards the accomplishment of set goals. The goal setting theory is therefore relevant to performance management and supervisors and subordinates can apply it when setting performance goals.

One other benefit of goals is that they increase employee motivation. Achieving set goals and having a sense of accomplishment as well as getting recognition from management and getting rewards for accomplishing targeted outcomes increase employee motivation (Cerasoli, 2014: 991). The implementation of performance management can be successful if employees are

motivated. The accomplishment of goals itself does motivate employees but if rewards are provided employees will be motivated and this is what is advocated by the goal - setting theory.

Generally when a goal has been understood and accepted, an individual becomes conscious of it and uses it as a reference point for guidance and gives meaning to one's mental and physical actions (Dietz, 2014:1815). Performance management guidelines emphasise the need for clear objectives, expected performance standards that will lead to the achievement of objectives and performance measures (Armstrong, 2003:489).

2.4 EXPECTANCY THEORY

Expectancy theory says that the ammunition that will make individuals act in a certain way is the expectation that they will get as a result of their action which will be followed by an outcome and how attractive the outcome is to the individual (Parijat & Bagga, 2014:5; Armstrong, 2009:38).

The assumption of the theory is that individuals have personal goals that motivate them to join organisations. The goals are supposed to be fulfilled by organisations in the form of rewards. The relationship between organisational rewards and personal goals is important and the extent to which the rewards are attractive in fulfilling the individual's goals is important (Parijat & Bagga, 2014:5). The value that an individual places on the rewards can either motivate or demotivate an employee. The reward that an individual will get depends on one's performance. One's level of belief in one's ability to perform will result in achieving organisational work outcomes (Dever, 2016:418). The belief by the individual that one has that effort which will result in high performance is also important. An individual is therefore motivated by four variables which are: effort, performance, rewards/ work outcomes and personal goals (Magidson & Roberts, 2014:1444; Dever, 2016:419; Conley, 2012: 37).

There are three relationships based on the variables. One of them is the relationship between effort and performance and is known as expectancy which explains the probability of an individual's effort resulting in an outcome (Flake et al., 2015:237). The other relationship is that between performance and rewards and is known as instrumentality (Flake et al., 2015:237). It involves one's perception of the chances that performance will result in organisational rewards such as promotion or increased salary (Sass, 2011:349). The third one is the relationship between

rewards and personal goals and is known as valence (Sass, 2011:349). It measures the attractiveness or value that the rewards have on the individual worker. If the work outcomes are not attractive, the individual could experience stress or fatigue but rewards such as promotion could have a positive valence (Belle, 2015:236). For an individual to be motivated, it is important for the valence to be positive. Valence may vary from individual to individual.

Expectancy theory of motivation assumes that individuals will be motivated to act if they expect that their behaviour can result in the achievement of desired outcomes (Kim 2016: 151; Belle, 2015:236). Individuals will make predictions of what their actions could result in (Kim, 2016:151).

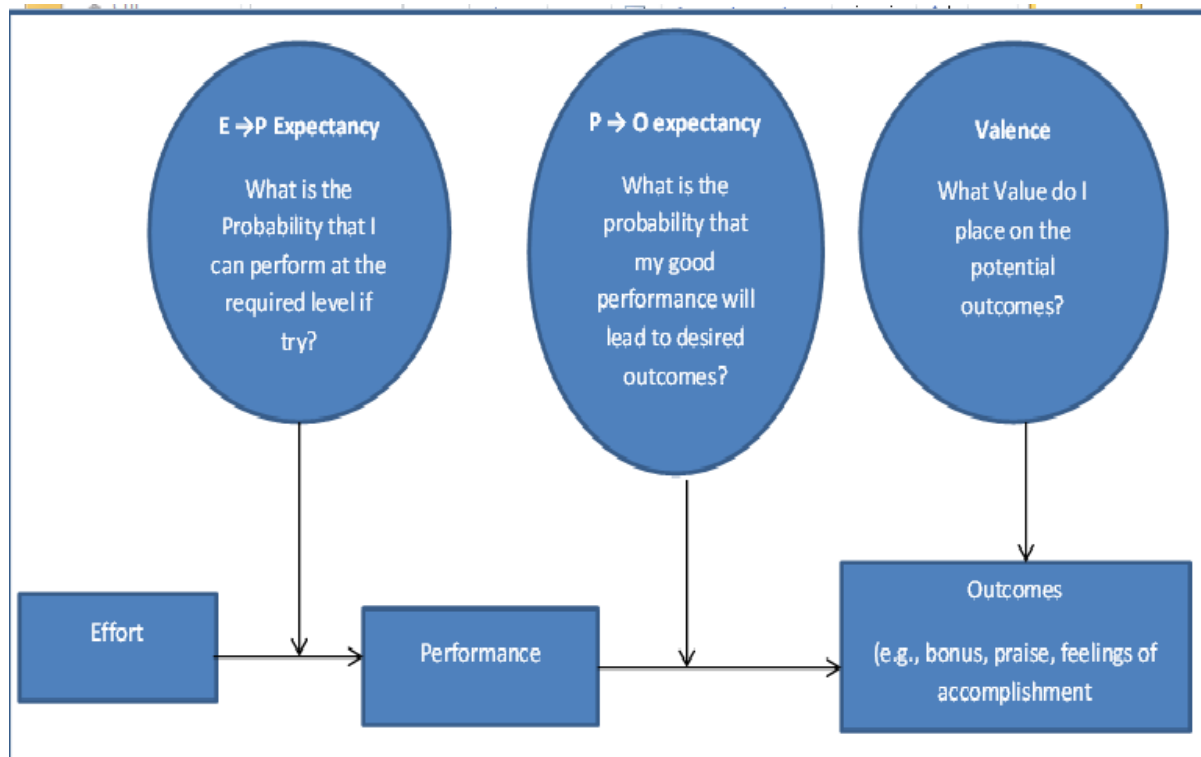
The expectancy theory by Vroom can be used by managers to motivate employees. The theory identifies a number of things that managers can put into use to motivate employees and these include changing an individual's effort-to-performance expectancy, performance-to-reward expectancy as well as reward valences (Lunenburg, 2011:5). Expectancy theory focuses on the cognitive process of motivation and it is based on the notion that there are relationships between the effort that individuals apply in their work, the results they achieve from their effort and the rewards they get from their effort (Lunenburg, 2011:5). The theory implies that individuals will be motivated if they believe that if they put a lot of effort in their work it will result in good performance which in turn will result in the rewards that they desire. The assumption is that individuals will be motivated if they are aware that their effort will result in improved performance and that performance will be rewarded to the satisfaction of the individual.

Vroom's expectancy theory has four assumptions. One of them is that when individuals join organisations, they have certain expectations, needs, motivations and past experiences (Lunenburg, 2011:3; Parijat & Bagga, 2014:2). These things will influence how the individual will react to the organisation. The other assumption is that the behaviour of individuals is actually a conscious choice and people are free to choose behaviours that reflect their calculated expectations (Parijat & Bagga, 2014:2). The third assumption is that individuals expect an organisation to provide them with different things such as a good salary, job security, promotion and challenging work (Lunenburg, 2011:5).

The expectancy theory of motivation explains that people consider three main issues before applying the necessary effort to do a given task. The three issues are effort, performance outcome and valence (Greenberg 2011:22; Hellriegel & Slocum, 2011:20; McShane & Von Glinow, 2011:32).

Effort → performance expectancy is where employees consider the possibility of their effort in assisting them to perform at the required level (Abadi et al., 2011: 158). Employees may evaluate their abilities to do the task as well as the availability of resources. They evaluate if it would be possible for them to perform at a higher level and in doing so they consider their abilities as well as other environmental factors that may affect their performance. Individuals are motivated by the belief that their effort will lead to the required performance which will result in a reward (Baker, 2011:33). For example if the feeling is that resources are not adequate performance expectancy ($E \rightarrow P$) would be assessed as low (Baker, 2011:34). If the feeling is that resources are adequate and the environmental is favourable, then the probability leading to high performance – the ($E \rightarrow P$) would be quite high (Baker, 2011:34).

Figure 2.1 Expectancy model



Source: Baker, 2011: 35

The other issue to evaluate is the performance outcome ($P \rightarrow O$) expectancy. The employees assess the probability that their performance will result in certain outcomes. The expectancy range is between 0 and 1 and it is based on probabilities (Kenfer et al., 2017: 338). The outcomes to be considered include potential rewards such as anticipated bonuses, promotion or the feeling of accomplishment (Liu, Chen & Yao, 2011: 297).

It is possible for employees to also consider negative results such as loss of time to spend with family members because of extra working hours. In an organisation where managers reward employees who perform well in accomplishing projects, the $P \rightarrow O$ expectancy of doing the task would be very high (Cerasoli, Nicklin & Ford, 2014:989). If the organisation does not have a history of giving good rewards for performance, then the $P \rightarrow O$ expectancy will be assessed as low.

The rewards given by organisations will vary depending on the organisation with some offering a variety of extrinsic rewards. They may be monetary rewards, time- off, weekend trip to a resort,

special parking space and certificate of recognition among others (Kenfer, Frese & Johnson, 2017: 340). Intrinsic rewards are the internal experiences associated with successful performance such as growth, feelings of achievement and challenge (Kenfer et al., 2017: 340). If employees assess the $P \rightarrow O$ expectancy as high, the expectancy will enhance their motivation and on the other hand if the expectancy is assessed as low, it will negatively affect their motivation (Kenfer et al., 2017: 340).

The third motivational issue to be considered by employees is valence. Valence is the strength that a particular reward is perceived by an individual (Lanaj, Chang & Johnson, 2012: 1002). With valence, the employees assess the anticipated value outcomes such as rewards (Lanaj et al., 2012: 1002). If the rewards are of interest to the employee, then valence will be high and if rewards do not interest the employee, valence will be low. The linking of performance and awards is important in motivating employees as this enables them to see the link between their effort and activities and the awards associated with their performance (Ayers, 2015:498). It is important for an organisation to make sure that awards are proportional to performance as well as the overall organisational contributions (Jung & Lee, 2013:790). Valence can be positive or negative and things such as salary increase, recognition by supervisors, promotion or peer acceptance may have more or less value depending on individuals (Jung & Lee, 2013:790). With an indifferent reward, valence is 0 and the total range is between -1 and +1 (Lunenburg, 2011:5). The rewards will motivate employees if they perceive them as having a high overall valence to the present situation and they meet one's needs (Jung & Lee, 2013:790; Lunenburg, 2011:5). When expectancy, instrumentality and valence are high, the result is higher levels of motivation (Lunenburg, 2011:5). The multiplier assumption of the theory is that if expectancy, instrumentality or valence is at zero, then the total motivation of an individual would be zero (Lunenburg, 2011:5).

The expectancy theory says employee decision making on whether to put effort or not is based on all the three elements, $E \rightarrow P$ expectancy, $P \rightarrow O$ expectancy and valence. Individual employees are likely to assess the situation by considering the three elements and then combine them to come up with a general view as explained by the expectancy theory $(E \rightarrow P) \times (P \rightarrow O) \times \text{valence} = \text{motivation}$ (Kenfer et al., 2017:344).

Expectancy theory has a number of merits. It assists managers to understand psychological processes that influence employees to be motivated (Chang et al., 2012:85). The theory assumes that there are a number of factors that influence motivation and they include perceptions of individuals, thinking, beliefs, and estimation of chances as well as probabilities (Chang et al. 2012:85). The theory assists managers to understand employee behaviour better. It is a theory that is based on common sense. It makes it easier for managers to understand employee motivation by breaking the concept of motivation into a number of recognisable stages (Heslin & VandeWalle, 2011:1699). It explains the link between effort and performance, performance and rewards as well as rewards and personal goals (Kenfer et al., 2017:344; Sun & Frese, 2013:182).

The theory enables a manager to create an environment that will motivate an employee and avoid situations that will demotivate an employee. The model views people as capable and what they need is for management to create a climate and culture that will result in employee motivation. The theory recognizes the significance of different individual needs and motivations (Parijat & Bagga, 2014:6). It seems to be more realistic and recognizes the harmony between individual and organisational goals.

It recognizes that people are different and what might motivate one individual will not necessarily motivate the other person. The theory does not specify which reward will motivate a particular group of people and recognizes that the link between rewards and performance might be viewed differently in different cultures (Parijat & Bagga, 2014:6).

Expectancy theory has led to improvements in the areas of job – redesign by paying more attention to issues such as autonomy, variety, task identity and feedback (Inzlicht & Schmmeichel, 2012:458; Bledow et al., 2011:1249). It encourages managers to focus on a number of issues as a way of motivating employees.

2.4.1 Limitations of the expectancy theory

Like most theories, expectancy has a number of limitations. The behaviour and attitudes of human beings are more subjective than objective and this makes it difficult to predict human nature and objectively theorize it (Johnson & Saboe, 2011:537). This creates limitations for all theories of motivation.

The theory involves a number of variables and this might make its application to be rather suspect. Implementation of the theory might actually be a challenge for some managers. It might not be possible for all managers in an organisation to have the time, willingness and favourable conditions as well as resources that will make it possible to make all the calculations to be done as required by the theory (Parijat & Bagga, 2014:6). Managers might also find it difficult to figure out what motivates a certain individual.

The suggested quantitative measures of expectancy, instrumentality as well as valence may be difficult to calculate and therefore pose problems for managers to implement (Parijat & Bagga, 2014:7). The suggested formulae for motivation may not be as realistic as it should be and its application to motivation may be controversial (Parijat & Bagga, 2014:7).

The use of the theory may be limited to individuals who clearly perceive the linkage that exists between effort and performance as well as performance and reward (Rubin & Kellough, 2012:128). For those who cannot perceive the link, the theory remains idealistic (Abadi et al., 2011:159). For the theory to assume that people are rational and have the ability to make logical calculations may not be true for all employees, making such assumptions idealistic (Abadi et al., 2011:160). Use of the theory may not result in organisations solving all motivation problems. It fails to clearly explain how motivational decisions are actually made.

It is also difficult to assume that all motivational decisions that individuals embark on are as exact as the theory says. The challenge that the theory faces is a situation where the same rewards are given to different individuals who have different motives for improved performance (Johnson & Saboe, 2011:538). The theory also faces a challenge in explaining why some employees would be interested in intrinsic rewards than extrinsic rewards (Cerasoli et al., 2014: 989).

The expectancy theory also assumes that all necessities are in place and this might not be the case for all situations (Abadi et al. 2011:161). Some employees may not have the ability, resources or opportunity to perform their tasks well. Some employees may not be able to perform well as a result of circumstances that are beyond their control such as genetics which may be a biological limiting factor for individuals to perform (Liu et al., 2011: 296).

The expectancy theory may also not be useful in predicting the motivation of lower level employees in organisations and that it might work in certain cultures rather than others. In cultures that are not goal oriented or that do not believe they can influence their own success, the theory might be ineffective (Abadi et al. 2011:162)

2.4.2 Implications for performance management implementation

The expectancy theory assumes that motivation is possible when there is a clear perception on the relationship between performance and outcomes and the outcome is perceived as satisfying the needs of the individual (Armstrong, 2009:38). This implies that financial rewards may act as an extrinsic motivator if an organisation has a pay-for performance scheme and there is a clear link between effort and reward and the employees perceives that the value of the reward is worth the effort (Armstrong, 2009:38). The theory also explains why intrinsic motivation as a result of the work itself could be more powerful than extrinsic motivation (Armstrong, 2009:38). The individual is able to control the outcomes of intrinsic motivation by relying more on previous experience to determine the extent to which results can be achieved through their behaviour (Armstrong, 2009:38).

The theory basically explains the following factors as influencing effort and achievement of tasks (Armstrong, 2009:38):

- The value placed by individual employees on the rewards.
- The assumption that effort will result in rewards as perceived by employees.
- The characteristics that individual employees possess such as intelligence, skill and know-how.
- The perceptions that individuals have on their role – this is in relation to what employees want or perceive they are required to do.

Expectancy theory has a number of implications for implementing performance management. Managers can apply the theory in their organisations by encouraging high $P \rightarrow O$ expectancy by linking rewards with high performance (Lord et al. 2017: 439). It is important for managers to remember that if they fail to reward high performance, this is likely to demotivate high performers.

It is important for managers to make employees believe that they can perform given tasks. This implies that managers should select individuals who have the skills and knowledge required to perform tasks, provide training and coaching for those who require it and make sure that employees have adequate resources to enable them to perform their tasks (Sonnentag & Starzyk, 2015:815). Tasks given to employees should be challenging so that they are motivated. Where problems arise, managers should try and minimize these so that they do not affect performance and end up reducing the level of motivation. It is also important for managers to make employees aware of what is expected of them as well as the rewards they will get if they achieve set targets.

Managers should also instil high $E \rightarrow P$ expectancy among employees. Having clear performance expectations, setting challenging and attainable goals, training employees and providing them with adequate resources enables employees to reach the required levels of performance (Kenfer, Beier & Ackerman, 2013:261). Creating opportunities for rewards can also be done by managers as a way of encouraging motivation among employees and the rewards should have a high valence among employees (Kenfer et al., 2013: 261). This shows how the expectancy theory is related to performance management.

Managers should also make individuals believe that improved performance will result in rewards that will be valued by the employees. It is important for managers to measure performance accurately and clearly state how successful performance will be rewarded. Examples of how successful performance has been rewarded should be provided as a way of motivating employees. When employees see the reward system at work, they will be motivated (Lunenburg, 2011:6). A compensation system that rewards individuals for performance may vary from money to other forms of rewards such as verbal recognition (Baker, 2011:22).

It is important for an organisation to increase the expected value of rewards from the performance that is required. This can be achieved by offering rewards that are valued by employees and the rewards should be individualised (Heslin & VandeWalle, 2011:1699; Koonmee, 2011:163). Organisations should also note that individuals do not value the same rewards especially when one considers the different demographics and diversity that may be in an organisation (Koonmee, 2011:163). For example a manager may find that some employees will value a pay rise while others may value additional vacation days more than monetary rewards.

The expectancy theory can be used by an organisation to implement performance management successfully if the design provides for intrinsic motivation by enabling employees to grow and develop their abilities. Managers should note that guidelines of the expectancy theory may not achieve the expected motivation of employees unless they perceive their outcomes as equitable.

It is important to ensure that evaluations and outcomes are structured to enable employees to focus their attention on what the organisation wants leading to desired performance accompanied by appropriate rewards. If there is a strong link between performance and rewards, the employees will be motivated to improve their performance (Armstrong, 2009: 39). Managers should try and strengthen the perceived link between effort and outcomes as this will assist the organisation to achieve its goals.

2.5 EQUITY THEORY

The equity theory argues that human beings prefer situations of balance or equity that take place when individuals perceive the ratio of their inputs and outcomes to be equal to the ratio of inputs and outcomes in comparison with others (Meng & Wu, 2015:58; Pichler, 2012:722). The comparison with another individual is based on one's view of appropriate comparisons (Ahmed, Oyagi & Tirimba, 2015: 401). For example when comparing a salary an employee would make the comparison with another employee who has the same credentials. The comparison is made using equity in relative terms with other employees rather than absolute terms (Ahmed et al., 2015: 401). The employee does not use a set standard. The inputs that an employee considers when assessing the ratio of inputs and outcomes to the ratio of others may include educational background, experience, hours that the individual has worked, skills and performance results (Manzoor, 2012:3). Outcomes may include issues such as pay, bonuses, parking space, praise, office space, furniture and work assignments (Kiruja & Mukuru, 2013:4). The inputs and outcomes used by the employee to compare the equity are based on the perception of what the individual thinks is relevant.

The theory argues that there are two types of inequalities that create tension in individuals. In the under reward inequality, individuals perceive their inputs – outputs ratio as being less than the inputs – outcomes ratio of others (Awan & Tahir, 2015:6). In the over reward inequality, individuals view their inputs – outcomes ratio as being greater than the inputs – outcomes ratio of others (Chandrasekar, 2011: 7; Cheema, Shujaat & Alam, 2013:4). Under reward is generally

more difficult to rectify than over rewards as individuals find it easier and quicker to adjust to over reward conditions than under reward conditions (Kaur, Aggarwal & Khaitan, 2014: 2).

The theory argues that the action taken by an individual is determined by what one perceives the under reward situation to be and self-esteem is important in reducing or eliminating inequality. The individual is likely to try and maximise outcomes and resist personally costly changes in inputs (Awan & Tahir, 2015:7). Changing one's perceptions with regard to inputs and outcomes of others or trying to alter their view of the equation would be more palatable than changing perceptions of how one views the equation. The situation can be left as it is where there is high inequity if the other alternatives do not seem to be feasible (Cheema et al., 2013:3). If the objects of comparison have stabilised over time, an individual may be highly resistant to changing the comparison others (Awan & Tahir, 2015:10).

Managers can use the equity theory to assist the recommendations of the expectancy theory. Managers should have a two – way communication with subordinates so that they are aware of the perceptions that subordinates have on equity (Skiba & Rosenberg, 2011:3). Managers should also inform subordinates on the rules that will be used on the allocation of outcomes relative to inputs. It is also important for managers to communicate effectively with peers, managers, customers and other stakeholders on a pattern of inequalities that may build into serious difficulties over a period of time (Skiba & Rosenberg, 2011:11). The growing diversity in organisations creates different views among employees and these have the potential of increasing feelings of inequality (Bozeman & Su, 2015:705; Desia, 2016:862). Managing diversity programmes can be introduced by organisations to assist equitable treatment of employees by managers.

The equity theory assists managers to understand the feelings of employees with regard to fairness of treatment at the workplace. Employees compare whether the treatment they get from managers is the same with that of other employees and this will shape their perceptions ((Skiba & Rosenberg, 2011:11). If employees feel there is inequity, they will be frustrated and demotivated (Skiba & Rosenberg, 2011:11). Managers should therefore be open and honest regarding inputs and outputs required for different tasks. Organisational rewards should also be fair and distributed according to contributions of individuals in order to motivate employees.

Cognitive theories of motivation can be viewed as complimentary although each one of them suggests a different perspective of motivating employees. The goal-setting theory assists in identifying the performance levels associated with both the effort →performance and performance outcome expectancy (Desia, 2016:863). Expectancy theory encourages managers to assist employees to develop positive assessments of their individual effort →performance expectancy through encouragement as well as training (Cheema et al., 2013: 4). It also emphasizes the significance of a clear link between performance and outcomes and the need to put into place rewards that have a positive valence for employees (Cheema et al., 2013:4) Issues of equity encourage individuals to assess the significance of maintaining equity in the motivation of employees.

2.5.1 Implications for performance management implementation

The equity theory can guide managers to successfully implement performance management by ensuring that employees are rewarded equally for achieving targets. Employees want to be treated equally and will generally consider how fair management is in rewarding performance.

Employees may also compare their performance with that of colleagues and also make comparisons of issues such as performance ratings, qualifications, and rewards as well as the number of hours worked. If they perceive that there is equity they will be motivated but if they think there is inequality, they will be demotivated. When implementing performance management, it is important for managers to make sure that employees are treated equally in terms of rewards and recognition for high performance. When employees perceive that they are not treated the same it will negatively affect their performance. Supervisors and managers should understand the perceptions of equity among employees and guard against rewarding employees differently where they should not be doing so as this would adversely affect employee performance. It is therefore important for managers to motivate employees by observing equity issues so that all employees feel that they are being treated fairly especially when they compare themselves with other employees.

2.6 REINFORCEMENT THEORY

The reinforcement theory is relevant in motivating employees but is different from the cognitive theories because it does not concern itself with the thought processes of individuals to explain behaviour. The reinforcement theory is also known as operant conditioning theory or behaviourism (Wei & Yazdanifard, 2014:10).

The theory argues that behaviour can be explained by consequences in the environment and there is therefore no need to look for cognitive explanation (Wei & Yazdanifard, 2014:10). The theory relies on the concept known as the law of effect which says that behaviours that have pleasant or positive consequences are more likely to be repeated and behaviours that have unpleasant or negative consequences are less likely to be repeated (Gohari et al., 2013:549). The process in this theory is that a stimulus provides a cue for a response or behaviour that is followed by a consequence. If an individual finds the consequence rewarding, the behaviour is likely to be repeated if the stimulus occurs in the future (Linz & Semykina, 2012:820; Koffarnus et al., 2013: 398; Rudge, 2011:7). If it is not rewarding, the behaviour is not likely to be repeated. . Techniques that an individual uses in this theory are known as behaviour modification (Shiraz, Rashid & Riaz, 2011: 1430).

Figure 2.2: Basis for determining frequency of reinforcement

Spacing or Timing of Reinforcement	Fixed	FIXED INTERVAL Reinforcement administered every x minutes.	FIXED RATIO Reinforcement administered every other occurrence of the behaviour.
		VARIABLE INTERVAL Timing of reinforces varies randomly around some average time period	VARIABLE RATIO Number of occurrences of the behaviour required to receive reinforce varies randomly around some average number.
	Variable		
		Passage of Time	Number of Times Behaviour Occurs

Source: Baker, 2011:36

2.6.1 Types of reinforcement

There are four types of reinforcement that can influence behaviour. They are positive reinforcement, negative reinforcement, extinction and punishment (Hall, 2013:23; Boussein, Roane & Harper, 2011:177). Positive reinforcement and negative reinforcement can be used to increase a behaviour while extinction and punishment are aimed at decreasing a behaviour (Hall, 2013:23). The argument is that positive reinforcement and extinction encourage individual growth, whereas negative reinforcement and punishment are likely to encourage immaturity in individuals and this may eventually affect the whole organisation (Boussein, Roane & Harper, 2011: 177).

Positive reinforcement is aimed at increasing a desired behaviour and it involves providing a rewarding consequence that will encourage that behaviour. Praise, a salary raise or time off could be a rewarding consequence that could be a positive reinforcer. Individuals differ on what they may find to be pleasant to them, so it is important for managers to monitor how a particular reinforcer affects a certain individual so that they can determine if it encourages the desired behaviour (Zaidi & Abbas, 2011: 782).

Individuals may not execute a new behaviour in a way that is exactly required when they try it for the first time and managers may be required to encourage the behaviour through shaping. Shaping is the successive rewarding of behaviours that are close to the required response until the individual makes the actual desired response (Vlaev & Dolan 2015: 69).

Negative reinforcement is generally geared on increasing a desired behaviour but does it in a different way. It involves providing unpleasant stimuli so that an individual engages in a desired behaviour so as to stop the unpleasant stimuli so that the individual can engage in the desired behaviour in order to get rid of an unpleasant condition (Bouxsein, Roane & Harper, 2011: 177). Negative reinforcement may also encourage the desired behaviour; it may also make an individual have negative feelings toward the person providing the reinforcement (Cartoni, Puglisi-Allegra & Baldassarre, 2013: 153). If this happens, the individual may react by doing what is only required and refuse to put on any extra time when it could actually help (Rolls, 2014:315). The individual might even leave the organisation. Negative reinforcement might also encourage immature behaviour such as completing a task only when the manager is present.

Extinction includes withholding previously available positive consequences associated with a behaviour in order to decrease that behaviour. For example during the first meetings an employee laughs at other people's contributions and the manager laughs, the behaviour of the manager might reinforce the behaviour of the employee and in the end the employee's behaviour might disrupt the proceedings of the meetings. If the manager refrains from laughing, the employee's behaviour would be gradually extinguished (Michie, Stralen & West, 2011:42).

Punishment involves providing negative consequences so as to decrease or discourage behaviour (Dolan & Dayan 2013: 315). Examples of punishment may include criticising the unwanted behaviour when it occurs, suspending an individual without pay, denying training opportunities, or withholding resources such as new equipment (Vlaev & Dolan 2015: 69). There are two ways in which punishment differs from negative reinforcement. One of them is that punishment aims to decrease or discourage a behaviour that is undesirable whereas negative reinforcement aims at increasing or encouraging a desirable behaviour (James & Sepehri, 2011:29; Tittle, Antonaccio & Botchkovar, 2012:864). The other one is that punishment is usually applied after the individual has engaged in an undesirable behaviour. On the other hand negative reinforcement occurs before the individual engages in a desirable behaviour (Tittle et al., 2012:864). Both

punishment and negative reinforcement constitute negative approaches to affecting behaviour and they have detrimental effects on individuals and organisations.

A number of arguments have been put forward against the use of punishment and one of them is that it can have undesirable side effects such as negative feelings toward the punisher. The other one is that it may eliminate the undesirable behaviour only as long as the threat of punishment remains (Tittle et al., 2012: 865). It also does not provide a model of correct behaviour (James & Sepehri, 2011:30). Punishment may also be necessary under certain circumstances, especially if the undesirable behaviour can have a serious impact on the organisation or may negatively affect other employees (Dolan et al., 2012: 132). If this is the situation, it might be not practical to use extinction to decrease the behaviour that is not desirable because immediate action to stop the behaviour is necessary (James & Sepehri, 2011:30). For punishment to be effective there must be recognised company policies that govern the situation; the punishment is meted soon after the undesirable behaviour; the punishment is moderate and it is applied consistently (Wei & Yazdanifard, 2014: 10).

2.6.2 Schedules of reinforcement

Reinforcement theory encourages the use of positive reinforcement to encourage desired behaviour. Studies have shown that different patterns of rewarding affect the time required to learn a new behaviour and the way in which the behaviour persists (Tay & Diener, 2011: 359). The different patterns are known as schedules of reinforcement and they emphasize the basis for as well as the timing of positive reinforcement (Gohari et al., 2013: 547). The two major types of reinforcement schedules are continuous and partial. In the continuous schedule of reinforcement, the desired behaviour is rewarded each time it occurs (Zani et al., 2011:330; Gohari et al., 2013:547). For example, a supervisor might praise a subordinate each time the subordinate does a task correctly. During the initial learning stages, this type of reinforcement can be quite effective but may be tedious and impractical as time goes on. If the reinforcement is not continued, the behaviour tends to stop and this emphasises the need for the reinforcement to be done at all times when a subordinate does a task well. With the partial schedule of reinforcement the reward for a desired behaviour is intermittent and not each time it occurs (Linz & Semykina, 2012: 816). At the beginning of the process, the reward for the desired behaviour can be more often to encourage its repetition and later it can become less frequent. There are four major types

of partial reinforcement schedules: fixed interval, fixed ratio, variable interval and variable ratio (Koffarnus et al., 2013: 399).

With a fixed – interval schedule of reinforcement, a reinforce is given on a fixed time schedule depending on whether the desired behaviour is attained at a required level (Shiraz et al., 2011:1432). For example a supervisor may go to a subordinate on a daily basis at approximately the same time and praise the employee if the task has been done well. This type of schedule tends not to produce content levels of production with the employee improving productivity just before the expected reinforcement and then declining until the next anticipated reinforcement (Wei & Yazdanifard, 2014: 12). If the supervisor delays or stops the reinforcement, extinction is rapid.

With a fixed – ratio schedule of reinforcement, reinforcement is provided after a number of occurrences of the desired behaviour instead of a fixed time schedule (Wei & Yazdanifard, 2014:12). For example a manager may offer awards to employees after they have come up with a number of innovative ideas that have been implemented and worked. A fixed – ratio schedule tends to elicit a high response rate, but rapid extinction takes place if the reinforcer is discontinued (Wynter–Palmer, 2012: 259; Siami & Gorji, 2011:21).

With a variable – interval schedule of reinforcement, a reinforcer is given on a varying, or random, time schedule that averages out to a predetermined time frequency (Siami & Gorji, 2011:21). For example a project manager may visit a project team to praise good productivity an average of five times per week but at different times. This type of reinforcement schedule tends to encourage a high steady response rate and extinction is slow (Wei & Yazdanifard, 2014: 12).

With a variable – ratio schedule of reinforcement, a reinforcer is given after a random number of occurrences of the desired behaviour in such a way that the reinforcement pattern averages out to a predetermined ratio of occurrences per reinforcement (Sarwar & Khalid, 2011: 601). For example a project manager, may offer special awards for innovative ideas to individuals on a ratio average of one award per four innovative ideas. This type of schedule can produce a high response rate and it is the partial reinforcement method that has the slowest extinction rate (Sarwar & Khalid, 2011: 601).

2.6.3 Implications of using Reinforcement theory when implementing performance management

There are a number of guidelines to assist organisations on how to use the reinforcement theory when implementing performance management. Managers are encouraged to use positive reinforcement to encourage desired behaviours and to inform subordinates on the behaviours that will be rewarded (Wei & Yazdanifard, 2014: 12). Employees should be informed on how good performance will be rewarded so that they can perform at a higher level. Rewarding employees for good performance will motivate employees to continue achieving set targets so that they continue getting rewards. If employees are aware that achievement of set targets will result in rewards, the rewards will reinforce them to perform at a level that will result in them getting rewards.

When subordinates have learned the required behaviours, variable–interval and variable–ratio reinforcement patterns can then be used to maintain the behaviours (Wei & Yazdanifard, 2014: 13). If it is necessary to punish, then punishments of moderate severity should be used and these should be administered quickly and consistently for best results to be achieved (Siami & Gorji, 2011: 22). Managers can use the implications of the reinforcement theory as a way of getting continuous high performance from employees and offer positive reinforcement by giving good ratings which will make employees get rewards.

2.7 SOCIAL LEARNING THEORY

The theory developed by Albert Bandura argues that learning takes place as a result of continuous interaction of the behaviour of individuals, personal factors as well as environmental forces (Schunk, 2012:117). Individual employees influence their environment which also affects their thoughts and behaviour (Schunk, 2012:117; Armstrong, 2015:323). The theory argues that individuals learn about how they behave through observation, imitating as well as interacting with the environment (Cherry, 2012:5; Armstrong, 2015:323).

Social learning theory argues that there are three cognitively related processes that are significant in explaining the behaviour of individuals and these are symbolic processes, vicarious learning and self – control (Cherry, 2012:6).

The social learning theory argues that individuals rely heavily on symbolic processes, the many ways that people use verbal and imagined symbols to process and store experiences in representational forms that can serve as guides to future behaviour (Culatta, 2012:14). By using symbols individuals can try to overcome challenges without actually considering all the alternative courses of action. Individuals can visualise places that they have never been to. Images of desirable futures allow individuals to set future goals and come up with actions that will guide the individuals to achieve those goals (Culatta, 2012:14). The symbolic processes incorporate a cognitive element called self-efficacy, which is the belief in an individual's capabilities to perform a given task (Cherry, 2012:6). Self-efficacy is similar to effort → performance expectancy component of expectancy theory but is more oriented toward an individual's conviction that they can perform a certain task (Cherry, 2012:6). This helps to assist in explaining the levels of goals that individuals set for themselves as well as task effort and persistence.

Vicarious learning or observational learning is the ability of individuals to learn new behaviours and assess one's probable consequences by observing others (Schunk, 2012: 118). Unlike the reinforcement theory one does not have to perform behaviour to learn about the consequences. The process of observing and trying to imitate the behaviour of others is called modelling (Schunk, 2012:118; Culatta, 2012:14). Modelling is said to occur in four stages. In the attention stage, individuals select a model for observation and the model is usually perceived as skilled and successful. In the retention stage, individuals retain information about certain behaviour through mental images and words (Cherry, 2012:7). In the next stage, known as the reproduction stage, individuals try to reproduce the behaviour, but may be partially successful and need to make further adjustment based on feedback (Culatta, 2012:15; Cherry, 2012:7). In the motivation stage, individuals are motivated to adopt the model behaviour. For adoption of the behaviour to take place at this stage, reinforcement must be present from a number of sources. One's behaviour may be reinforced by what happens in the environment in a way similar to the reinforcement theory (Bener et al., 2016: 1). Reinforcement may also occur vicariously through one's observation of the results that have accrued to others engaging in the particular behaviour. Individuals can also engage in self – reinforcement through the process of self-control (Bener et al., 2016:1).

Self-control or self-regulation is the ability of individuals to exercise control over one's behaviour by setting standards and providing consequences for one's actions (Bener et al., 2016:3; Girard, Hett & Schunk, 2015:201). Self-control increases performance when individuals make self-rewards conditional on reaching a challenging present level of performance (Girard et al., 2015:201).

2.7.1 Implications of Social Learning theory on performance management implementation

The theory argues that the provision of positive models seems to greatly increase the learning of appropriate behaviour, particularly if there are opportunities to try the new behaviours in a supportive environment and get feedback (Girard et al., 2015: 201). Modelling can be quite useful for training new employees in the performance management system of an organisation. The notion of vicarious learning shows that employees are likely to make conclusions on prospects for rewards and punishments, not entirely from personal experiences but also from those of others (Girard et al., 2015: 201). When implementing performance management, managers should be guided by the social learning theory to assist employees to learn appropriate behaviour that will result in them getting rewards.

2.8 NEED THEORIES

Need theories argue that human beings behave the way they do because of internal needs they attempt to satisfy. These theories are also known as content theories of motivation because they identify what motivates individuals (Ayub & Rafif, 2011:80). Needs are perceived as the internal force of energy that directs individual behaviour to act so that the need is fulfilled (Singh & Tiwari, 2011:78). The assumption is that the need that has the most intense is the one that individuals try to satisfy (Singh & Tiwari, 2011:78). The other assumption of these theories is that individuals have the same set of needs and this allows employers to determine issues which should be addressed so that employees are motivated (Lynne, 2012:8; Kian et al., 2014:98). Need theories include the following: hierarchy of needs theory, two – factor theory, ERG theory and acquired needs theory (Ayub & Rafif, 2011:80).

Table 2.1: Motivation theories

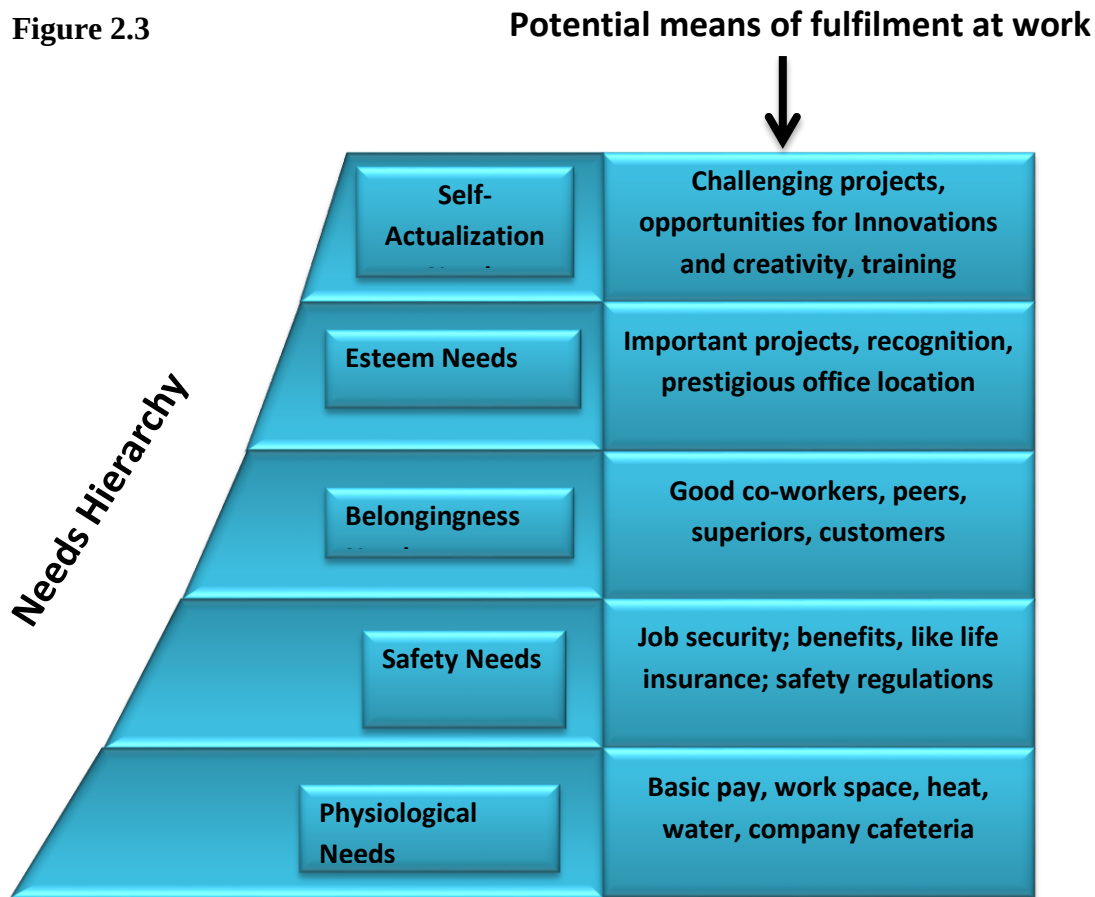
	Content theories	Process theories	Reinforcement theories
Focus	- Identify employee needs to be satisfied - Identify factors that have influence on employee behaviour	- The process of goal setting - Evaluation of employee satisfaction after goal achievement	-Behaviour as a function of its consequences
Theories	-Maslow's hierarchy of needs theory -ERG motivation theory -Herzberg's two factor theory -Acquired needs theory	-Equity theory -Expectancy theory	-Reinforcement theory

Source: Smit et al., (2011:472)

2.8.1 Maslow's Hierarchy of Needs theory

The theory was developed by Abraham Maslow in the early 1960s. The theory argues that individual needs are made up of a five- level hierarchy. The first need for individuals is the need for survival and people will concentrate on basic physiological needs such as water, food and shelter until these are fulfilled (Lynne, 2012:8). Individuals will then focus on safety needs which include the desire to feel safe, secure and free from threats to their existence (Saraswathi, 2011:74.). When the individuals feel safe and secure their attention focuses on relationships with others so that they fulfil their belongingness needs which involve the desire to affiliate with and be accepted by others (Lynne, 2012:8). Once this need is fulfilled, individuals focus on esteem needs and these are related to the two – prolonged desire to have a positive self – image and to have one's contributions valued and appreciated by others (Saraswathi, 2011:74). The fifth level which is the highest one is the self – actualisation needs, which focuses on the requirement of developing their capabilities and reaching their full potential (Saraswathi, 2011:74). At this level individuals focus on issues such as testing their creativity, observing their innovative ideas translated into reality, pursuing new knowledge as well as developing their talents in other directions (Baumeister et al. 2013:507). The theory argues that the fulfilment of needs at this highest level is not easy to completely fulfil because as individuals try to develop their capabilities, both their potential and needs for self – actualization grow stronger (Winston, 2016:141).

Figure 2.3



Adapted from Lynne (2012:10)

The theory argues that a need does not have to be completely fulfilled for individuals to pay their attention on to the next level in the hierarchy (Tay & Diener, 2011:360; Ivtzan et al. 2013:120; Borrero et al., 2013:7). The assumption of the theory is that when a lower – order need has been fulfilled to a certain extent, the next need in the hierarchy emerges (Winston, 2016:141). Deficiency is therefore responsible for motivating behaviour (Taormina & Gao, 2013:156; Winston, 2016:142). When individuals have fulfilled a need, that need ceases to motivate them and they start focusing on the next level (Diener, 2011:360).

The assumption of this theory is around the belief that if the physical needs of employees are met, the employees enhance their performance to achieve organisational objectives (Ghanbarpour & Najmoliourhoda, 2013:5). In other words needs motivate the behaviour of individuals.

Other studies suggest that needs may cluster into two or three categories, rather than five (Winston, 2016:144). The hierarchy of needs may also differ from individual to individual rather than being the same for everyone (Taormina & Gao, 2013:157). In most instances, individuals seem to focus on satisfying a number of needs at the same time although some needs may be more important than others at a particular given time (Taormina & Gao, 2013:158).

A number of criticisms have been raised regarding the hierarchy of needs theory. One of them is that there is no evidence to support the assumption that human needs can be categorised into five groups and some researchers have reduced the number while others have suggested that they are more than five (Winston, 2016:143). Maslow also revised the hierarchy and added the need for self-transcendence (Winston, 2016:143). The other criticism is that needs do not emerge in a given order and they may be determined by a number of circumstances such as culture, environment or other influences (Tay & Diener, 2011:361). Other studies have concluded that the emergence of needs is influenced by culture and the socio-political environment (Winston, 2016:144). Tay and Diener (2013:362) conducted a study and concluded that needs arise in the order put forward by Maslow.

Maslow's hierarchy of needs theory has developmental validity. The needs of an individual seem to emerge according to the hierarchy. The physiological needs such as food and rest dominate an individual's life during the early years of life (Tay & Diener, 2013:362). The safety needs become more important during childhood (Winston, 2016:144). The need for love and belonging seem to be at peak during adolescence and childhood (Tay & Diener, 2013:363). The esteem and recognition need is generally important during adulthood (Tay & Diener, 2013:363). The need for self-actualization is associated with older adults than younger adults (Ivtzan et al., 2013:122). It should however be noted that the development pattern of a need is based on the dominance of the need rather than its presence (Winston, 2016: 144). For example the need for love and belonging is present throughout an individual's life but dominates during a certain period of the individual's life (Winston, 2016:144).

2.8.2 Implications for implementing performance management

Organisational managers should ask themselves how they can use the theory to motivate employees through the implementation of performance management. Although the theory has criticisms, one of its advantages for managers is its intuitive appeal and it is also easy to

understand (Guest, 2014:982). It highlights important categories of needs and identifies higher order from lower order needs (Northouse, 2013:9). The theory also highlights the importance of personal growth and self-actualization for employees (Thielke et al., 2012: 480; (Northouse, 2013:9). Managers can apply the theory by providing physiological and security needs for the employees.

As a way of motivating employees to perform at a higher level, the organisation can offer rewards to employees who achieve set targets. This will enable employees to meet their needs by using the money offered to them for achieving set targets. For the satisfaction of social needs, managers can allow employees to work in teams or groups (Thielke, 2012:480). Group rewards may also be offered by the organisation. Managers can also create a working environment that will enable employees to satisfy higher order needs and self-actualisation needs (Thielke, 2012:480).

2.9 TWO – FACTOR THEORY

Herzberg conducted a study to find out the relationship between job satisfaction and productivity. The two-factor theory developed by Herzberg argues that there are factors that seem to make individuals feel satisfied with their jobs. These factors are known as motivators (Dartey–Baah & Amoako, 2011:2). They include responsibility, the work itself, recognition and growth as well as achievement (Dartey – Baah & Amoako, 2011:2). The assumption of the two-factor theory is that motivation comes from deep human feelings rather than imposed policies of an organisation (Ghanbarpour & Najmolhoda, 2013:5).

Table 2.2 Factors affecting job attitudes

Satisfied ↑ ↓ Not satisfied	Areas of satisfaction	Motivator Factors - Achievement - Recognition - Work Itself - Responsibility - Advancement - Growth
Not dissatisfied ↑ ↓ Dissatisfied	Areas of dissatisfaction	Hygiene Factors - Organisational policy - Supervision - Salary - Working conditions - Relationship with Peers - Relationship with Supervisor

Source: Smit et al., (2011:476).

Factors that seem to make individuals feel dissatisfied are associated with the job content and are known as hygiene factors (Teck–Hong & Waheed, 2011:75). These include pay, working conditions, supervisors, company policies and benefits (Teck–Hong & Waheed, 2011:75). What is interesting to note is that Herzberg categorized salary as a hygiene factor implying that salary does not motivate employees. Individuals work to earn a salary making it part of the job context and employees will experience extreme dissatisfaction if they were not paid (Teck–Hong & Waheed, 2011:75). However if the contribution or performance of an employee is recognized through a merit bonus or promotion, then it motivates the employee (Dartey–Baah & Amoako, 2011:3).

The two – factor theory argues that hygiene factors have a place in an organisation because they keep employees from feeling dissatisfied (Teck–Hong & Waheed, 2011: 77). According to the theory, only motivators can make employees feel satisfied and motivated (Dartey–Baah & Amoako, 2011:3). Managers should then provide hygiene factors to reduce sources of employee dissatisfaction (Yusoff & Kian, 2013: 19). They should also include motivators because they are the only factors that can motivate employees and result in job satisfaction (Yusoff & Kian, 2013: 19).

The two-factor theory has been criticized in that it has failed to produce the same pattern of hygiene factors and motivators when different methods of research are used (Yang, 2011:283). It has been criticized for confusing circumstances that cause feelings of satisfaction and dissatisfaction with the issue that caused the event to happen (Stringer et al., 2011:27). Factors that cause satisfaction and dissatisfaction overlap and the value of factors as a function differ depending on the position that an individual holds in an organisation (Hong & Waheed, 2011: 82). The theory does not take into account the role played by individual differences in human beings (Yang, 2011:283). Some critics also argue that the two – factor is observed because it is common for employees to take credit for satisfaction and to blame dissatisfaction on external factors (Lin & Lin, 2011: 3401). However the theory is important because it assists managers to pay attention to motivators so that employees are motivated (Lin & Lin, 2011: 3401). It is also valued in that it recognises that true motivation comes from within an individual.

2.9.1 Implications for implementing performance management

Herzberg's theory helps managers to understand the motivation that individuals experience from the work itself making job enrichment an important aspect of motivating employees to achieve set goals. An individual's job should be challenging to enable the employee to utilise his/her full ability and this implies that when setting goals, employees should be encouraged to set stretching goals. If an employee demonstrates increasing levels of ability, the individual should be given increasing levels of responsibility (Chu & Kuo, 2015:55; Latham, 2012:22). For jobs that cannot be designed to enable the employee to use their full abilities, the organisation may consider automation or assign the job to an individual who has a lower level of skill (Chu & Kuo, 2015:55). If an organisation fails to fully utilise an employee, the individual will have a problem of motivation. Individuals should also be provided with opportunities for advancement through internal promotions and this will result in increased performance because of the motivation that employees get from management recognition (Chu & Kuo, 2015:55). Opportunities for training and development should be provided to enable individuals to pursue positions they want in the organisation and this is what the performance management process encourages. The supervisor can coach employees and assist them to perform at a higher level.

Managers can eliminate job dissatisfaction by doing a number of things including revising company policies, provision of effective supervision and creating a culture that supports and respects the dignity of all employees (Dartey–Baah & Amoako, 2011:3). Managers should also ensure that salaries are competitive, job security is guaranteed and jobs are meaningful (Dartey–Baah & Amoako, 2011:3).

The theory also explains the limits of money, fringe benefits and improved working conditions as motivators but emphasises factors such as recognition, achievement, opportunities for growth and advancement as well as responsibility as strong employee motivators (Chu & Kuo, 2015:56). The theory assumes that intrinsic motivation plays a significant role in motivating employees and managers should therefore take employee recognition seriously since it motivates employees.

2.10 ERG THEORY

The theory was developed by Clayton Alderfer and the name of the theory seems to be derived from combining Maslow's five levels of needs into three levels: existence, relatedness and growth (Caulton, 2012: 2; Ud Din, Khan & Murtaza, 2011: 503). The theory argues that existence needs include physiological desires such as food and water. They also include work–related material desires such as pay, fringe benefits and physical working conditions (Caulton, 2012:3). Relatedness needs focus on one's relationships with significant others such as families, friendship groups, work groups as well as professional groups (Yang, Hwang & Chen, 2011: 7886). These needs focus on the desire of individuals to be accepted by others, achieve mutual understanding on issues that are important to them and also exert some influence on the people they communicate with (Yang et al., 2011: 7887). Growth needs include creativity and innovation as well as the desire to have a productive impact at the workplace (Yang et al., 2011: 7887).

The theory argues that individuals tend to concentrate first on those things that are necessary for their existence (Nagar & Sharma, 2016: 9). When the existence needs have been met, individuals have more energy to pay more attention on relatedness needs. When the relatedness needs have been almost fulfilled, individuals have the energy and support required to pursue growth needs (Nagar & Sharma, 2016:9; Yang et al., 2011:7888). The ERG theory therefore incorporates a satisfaction – progression principle similar to Maslow's hierarchy more so because satisfaction

of one level of need influences the individual to focus on the next level (Nagar & Sharma, 2016:9).

The ERG theory has three need levels while Maslow's hierarchy of needs has five levels. Although the issue of the hierarchy is still maintained, the ERG theory argues that individuals can be concerned with a number of need categories at the same time (Saif et al., 2012:1388). Needs at the lower levels are not fully well satisfied before individuals focus on other needs (Saif et al., 2012:1388). Satisfaction at the lower levels assists individuals to devote their attention to higher-level needs. The ERG theory is more flexible because it recognizes that some individuals' needs may take place in a different order than what the theory says (Saif et al., 2012:1388). The ERG theory also incorporates a frustration – regression principle which stipulates that if individuals are continually frustrated in their efforts to satisfy a higher – level need, they cease to focus on the need (Nagar & Sharma, 2016:10). They may instead regress to exhibiting greater concern for a lower – level need that may be more concrete and its achievement is more realistic (Nagar & Sharma, 2016:10).

2.10.1 Implication for performance management

The ERG theory and Maslow's hierarchy theory are difficult to test because they both involve measuring and tracking individuals' changing needs and fulfilment levels over time. If the arguments put forward by the ERG theory are correct in predicting that individuals try to fulfil a number of needs at the same time, managers should note that a variety of means for need fulfilment should be made available (Yang et al., 2011: 7888; Caulton, 2012:4). As a result of the frustration–regression aspect of ERG theory, managers should pay attention to providing opportunities to satisfy growth needs so that employees do not stop to have an interest in them (Yang et al., 2011:7888).

2. 11 ACQUIRED – NEEDS THEORY

This theory was developed by David McClelland and it argues that needs are acquired or learned depending on one's life experience (Kian et al., 2014:76; Singh & Tiwari, 2011:75). The needs are a product of a number of conditions an individual is exposed to, but even a specific event can influence one's desires.

McClelland focused his study on three needs that motivate individuals and they are: achievement, affiliation and power. On the need for achievement, which is the desire to accomplish challenging tasks and attain a high standard of achievement in one's work, the theory argues that individuals with a high need for achievement generally look for competitive situations in which they can attain results through their own efforts and need to receive immediate feedback on their performance (Nadia & Shagufta, 2011:49).

If feedback on their performance is delayed, they get frustrated. Such individuals pursue challenging goals and take calculated risks. They do not involve themselves in tasks that they may not accomplish and do not gamble with issues that they are not sure of. However, regardless of the general belief, high achievers generally avoid extremely difficult goals because of the high risk (Royle & Hall, 2012: 21). They assess their chances of success before taking on a task and can therefore control their possibility of success. Individuals who are high achievers can be valuable for an organisation because they enjoy challenging situations and can be an important source for creativity and innovation (Royle & Hall, 2012:21).

Individuals with high achievement needs are motivated by responsibility and enjoy coming up with solutions to challenges (Ferreira, 2017: 62). They can even come up with solutions on challenges that are not directly their responsibility. High achievers enjoy stretching themselves but they are careful when it comes to calculating the possibility of success. If there is a fifty-percent chance of success, high achievers will attempt the task.

It is important for managers to note that if they have high achievers, they should give them challenging but realistic goals as a way of motivating them and feedback should be immediate so that the individuals become aware of their progress (Ferreira, 2017:63). The theory argues that individuals may not be motivated by money only since satisfaction may come from achievement but money may still be important as a source of feedback on their performance.

The theory also addresses the need for affiliation, which is the individual's desire to have warm and friendly relationships with others (Royle & Hall, 2012:23). It is more likely for high achievers to gravitate towards professions that involve interaction with others and as a way of motivating such individuals, managers should provide them with a cooperative, supportive work

environment to enable them to meet both performance expectations as well as their high affiliation needs to work with others (Royle & Hall, 2012:23).

The theory views the need for power as the desire to influence others as well as the ability to control one's environment and this is an important motivator in an organisation (Royle & Hall, 2012:23). Need for power has two forms, personal and institutional. Individuals who have a high need for personal power like dominating others to show their ability to wield power (Royle & Hall, 2012:24). They expect their followers to be loyal to them rather than the organisation and this can affect the achievement of organisational goals. On the other hand individuals with a high need for institutional power pay more attention to working with others to overcome organisational challenges to achieve set goals (Royle & Hall, 2012:24). Such individuals make sure that organisational tasks are done in an organised way. They can also sacrifice some of their personal – interests for the sake of the organisation. Individuals with a high need for institutional power may be motivated by giving them positions that will enable them to organise the efforts of others (Royle & Hall, 2012:24).

Individuals with a high need for achievement tend to focus on their own achievement rather than on the development and achievement of others and such individuals might not become good managers. Individuals with a high need for affiliation may also not be effective managers because of their focus on maintaining good interpersonal relationships instead of achieving organisational goals (Ferreira, 2017:63). Individuals with a personal–power orientation generally have challenges in managing people because they often want to use other people's efforts for their own benefit (Ferreira, 2017:63).

The theory suggests that individuals with a high institutional–power need are likely to become good managers because of their focus on coordinating the efforts of others to achieve organisational goals (Nadia & Shagufta, 2011:50). In competitive environments, the need profile for successful managers would include the following: a moderate–to–high need for institutional power; a moderate need for achievement to encourage individual contributions early in one's career and a desire for the organisation to have a competitive edge as one moves to higher levels and; a relatively minimum need for affiliation to provide sufficient sensitivity for influencing others (Nadia & Shagufta, 2011:50).

2.11.1 Implications for performance management

Managers can apply the theory to improve employee performance by allocating duties to individuals based on the predominant needs of an employee. Individuals who have a high need for achievement would be motivated by challenging non-routine tasks that have clear and achievable goals (Nadia & Shagufta, 2011:50). They also prefer frequent feedback on their performance. They will be motivated by tasks that continuously change and are more challenging. However such employees may not be effective in management positions because they are not effective in influencing others to perform tasks (Singh & Tiwari, 2011:76). Performance management aims at improving performance and managers can use the theory to assign challenging tasks to individuals who are motivated by challenging tasks resulting in the organisation achieving its goals.

Individuals who have a high need for affiliation are motivated by working in teams and managers should also take note that such employees need to be praised from time to time (Singh & Tiwari, 2011:76). Such individuals are not motivated by the task but get satisfaction from the people that they work with. Managers can assign tasks to teams and employees who enjoy working in teams will be motivated and improve their performance leading to achievement of organisational goals. Individuals who have a high need for power enjoy working where they direct activities, where the environment is competitive and their status is valued (Singh & Tiwari, 2011:76). Such individuals could be placed in management positions.

The need theories generally point to the importance of higher-level needs as a source of motivation (Ferreira, 2017:64). The current challenges in organisations such as innovative ideas, improved quality and the need to implement change and foster growth needs make the need theories relevant in today's organisations. The need theories also emphasise the importance of job enlargement and job enrichment as a way of motivating employees. Employees need to view their jobs as meaningful and they will be motivated (Ferreira, 2017:64). If managers take advantage of these guidelines objectives of organisations can be achieved and the implementation of performance management can be successful.

2.12 INNOVATION THEORY

Innovation is perceived as an engine of renewal in today's organisations which are characterised by continuous change and a competitive business environment (Sakalyte & Bartuseviciene, 2013:93). Regardless of the extent or type of innovation, the goal is to develop or create a new product or a new process that would help the organisation increase profit or the chance of becoming a market leader (Sakalyte & Bartuseviciene, 2013:93). Organisations innovate differently depending on why and where they are doing it.

Conway & Steward (2009: 8) state that innovation results in the introduction of a new product to the market or a new idea to solve challenges in the organisation. Innovation also includes ideas for reducing organisational costs; reorganization of processes; improvement in organisational networks; development of new organisational systems as well as the generation and implementation of new ideas and processes (Sakalyte & Bartuseviciene, 2013: 94).

Innovation is said to emerge from two main sources namely the research and development section of an organisation and the imitation of innovations of other organisations (Bogers & West, 2012:62; Damanpour, 2009:651). Innovative activities associated with creativity, education and entrepreneurship are perceived as activities that are directed toward moving from a lower level to a higher level and the change that innovation brings is geared at meeting societal needs and enabling an organisation to compete in the market (Damanpour, 2009:651; Prajogo, 2006:219; Bogers & West, 2012:62). Love & Roper (2009: 273) noted that innovation is a process rather than an event and it includes activities beginning with the identification and development of products up to the production of the products. Innovation results in organisational change and enables the organisation to meet customer needs and remain competitive.

According to Schumpeter (2009:652) the main factors that motivate organisations to be innovative are the market size and structure. However this has been disputed and factors such as external learning, knowledge surplus and management style are now regarded as more relevant (Webster, 2004:738). Innovation enables an organisation to reduce production costs, increase production of goods or services and improve the quality of goods or services resulting in increased profits for an organisation (Webster, 2004: 738). Presently organisation are faced with a situation where the product life cycle is continuously shortening because of the ever changing

environment as well as customer needs and the ability of organisations to innovate has become a necessity (Prajogo, 2006:220). The pace at which organisations innovate may be determined by the ability of an organisation to embrace new technology as well as five categories of innovators namely primary innovators; early successors; early majority; late successors and laggards ((Sakalyte & Bartuseviciene, 2013: 95). Early innovation successors are likely to benefit more than those that will follow later but the risk is higher (Prajogo, 2006: 220).

When considering innovation in the public sector it is important to understand how the public policy of a country is decided and implemented or restrained (Roste, 2005: 14). Policy generally targets what a government wants to do and why it does it and the difference that the policy makes (Dye, 2002: 23). Policymakers are regarded as people who are rational when it comes to decision making and will generally chose a policy alternative with the highest possible gain and lowest cost (Roste, 2005:17). The challenge is that although policymakers are rational beings they face many barriers to rational decision making and this is why at times policy making may not be a more rational process (Dye, 2002:23). Constraints such as time, lack of information and costs may prevent policy makers from knowing and selecting the best alternative to achieve objectives (Roste, 2005:19).

2.13 DIFFERENCES BETWEEN PUBLIC AND PRIVATE SECTOR INNOVATIONS

Innovation in the public sector has had little consideration because of the meaning of the concept of innovation (Thenint, 2010: 5). In the public sector innovation is defined as deliberate change or introducing a new practice or purpose (Roste, 2005:19). Albury and Mulgan (2003:27) state that successful innovation results in the implementation of new processes, services as well as methods of delivery leading to improved outcomes in efficiency, quality and effectiveness.

Experts on innovation have generally paid more attention to technological innovation and the production of goods and this is found in the private sector. In the public sector innovation is associated with non – technological processes (Thenint, 2010:5). The public sector has multiple objectives which are not as clear as private sector objectives and public sector authorities are faced with complex issues that can affect the sector negatively if there is a mix of wrong policies (Thenint, 2010:5). Public sector innovation is to a large extent linked to social attitudes with regard to the change (Thenint, 2010:5). Measuring innovation in the public sector is therefore not as easy as in the private sector.

Risk taking is associated with innovation in the public sector because failure can lead to a drastic impact (Thenint, 2010:5). Policy makers take great responsibility when they come up with innovative ideas and this applies to politicians who may be exposed to criticism from the media and opponents (Manley, 2001:36).

The public sector has a complex open system of organisations with many tasks. This leads to slower decision making than in the private sector because of the large chains of command (Manley, 2001:42. In the public sector it is possible for an innovation to be rolled out using the top – down approach across large public sector organisations (Thenint, 2010: 6). The diffusion of innovation in the public sector takes more time than in the private sector and what might be considered as an innovation by one department in a different region of the country might have been experienced by another department for some time (Thenint, 2010:6).

Public sector innovation can be a result of a variety of motivations and some of them are different from what motivates private sector innovation.

Table 2.3: Motivations

Motivations for innovation in the public sector for individuals - Career - Recognition as a professional - Idealism - Personal fulfilment - Power - Salary - Esteem - Possibility of spin – off business	Motivations for innovations in the private sector for individuals - Salary - Personal fulfilment - Career - Esteem - Power - Idealism - Job security
Motivations for innovation in the public sector for organisations - Coming up with a policy or idea - Increased funding - Solving problems to achieve objectives - Increased staff - Public relations	Motivations for innovations in the private sector for organisations - Solving problems to achieve objectives - Overcoming competition - Market shares - Organisational growth - Public relations

Source: Miles and Roste, 2005:30

The other difference between the two sectors is customer relationship management (Miles & Roste, 2005:30). Innovation in the public sector is evaluated by policy makers while private sector innovation depends on market feedback (Miles & Roste, 2005:30).

2.15 Typology of innovations in the public sector

Public sector innovation can be divided into various types including the following (Halvorsen et al., 2005:15).

- An improved or new service
- Innovation of the process
- Administrative innovative resulting from policy change
- Innovation of a system resulting in new ways of interaction
- Innovation of concepts resulting in the use of new concepts

The following ways may be used to label the innovations:

- Incremental / radical innovations
- Top – down / bottom – up innovations – depending on the source of the innovation
- Innovations led by needs and by efficiency – depending on whether the process is geared at solving a problem or making an existing procedure more efficient (Halvorsen et al. 2005:15).

2.14 INNOVATIVE PERFORMANCE MANAGEMENT

Performance management aims at improving employee performance through a process of establishing desired outcomes and includes the setting of performance standards and analysing it to improve employee performance (Ding et al., 2016:7). Practices that have been successful in the private sector such as performance oriented and results driven management have been adopted by the public sector and have been effective (Robert, 2002:12). Performance management has established a culture of performance in the public sector. Literature suggests that performance management in the public sector should lead to lower employee absenteeism, increased job satisfaction and employee motivation (Adelien, Carine & Alex, 2013:361; Kuvass, 2006:571; Gould–Williams, 2004:69).

Public sector innovations are aimed at improving service delivery with the broad aim of improving the quality of life for the citizens. Processes on how public sector organisations become innovative is developing (Boyne et al., 2005:427; Rashman & Radnor, 2005:22; Walker, 2008:598). Literature on the effectiveness of adopted innovative performance management is still at the infancy stage (Walker & Damanpour, 2008:47). Literature on public service innovation has concentrated on the impact of service innovations (Walker, Damanpour & Devece, 2010: 367).

Reforms that have been implemented in the public sector have been as a result of the New Public Management movement and some have been adopted from the private sector (Walker et al., 2010: 368). Public sector organisations in many countries have re-organised their management processes in order to improve performance. Botswana has also done the same.

Researchers on innovation have noted differences in innovation types and assumed that they have different attributes and follow certain adoption processes (Light, 1998:17; Kimberley & Evanisko, 1981:693). A number of innovation typologies have been proposed and the ones that have been examined by researchers from time to time include the product/ service versus process innovations (Walker & Damanpour, 2008:48) technological versus administrative / managerial innovations (Damanpour, Walker & Avellaneda, 2009:662; Kimberly & Evanisko, 1981:693) and radical versus incremental innovations (Cardinal, 2001:27; Gemain, 1996:124).

Birkinshaw, Hamel and Mol (2008:829) have defined managerial innovation as “the generation and implementation of a management practice, process, structure, or technique that is new to the state of the art and is intended to further organizational goals.” Newness can be defined as the state of the art and management innovations may be radical and their adoption may result in major changes in the management systems and processes of an organisation (Walker et al., 2010: 369). Organisations may adopt innovations that have been generated elsewhere and newness in such a situation may not be perceived as the state of the art but the adoption of an innovation (Walker et al., 2010: 370). At times the adoption of an innovation may not result in radical changes in an organisation but produce minor changes in management systems and processes of an organisation (Walker et al., 2010: 370).

Management innovations generally aim at increasing efficiency and effectiveness of both service provision and internal operating and administrative processes (Adams, John & Phelps, 2006:28; Birkinshaw et al., 2008: 831; Boer & During, 2001:88). Changes may include management systems, managerial skills required to effectively perform management tasks to enable the organisation to function efficiently and effectively (Hamel, 2006:77). The administrative dimension of innovation results in the adoption of new management systems and processes resulting in more effective ways of managing tasks (Damanpour et al., 2009: 664). Innovation therefore results in the introduction of new practices and processes meant to assist the organisation to adapt and be more effective. Innovative performance management should be perceived in this context. The adoption of an innovation such as performance management in the public sector in Botswana should be perceived as an attempt to improve employee performance leading to improved customer service and satisfaction.

Innovative performance management may influence organisational performance positively (Walker, 2004: 34). Although innovation may be risky and its success may not be guaranteed, evidence from research suggests that its adoption enhances performance and confirms views by contingency theorists that organisations are adaptive systems that introduce change for the purpose of functioning effectively (Pfeffer & Salancik, 2003:45). The introduction of innovative performance management in the public sector should enhance service provision resulting in customer satisfaction and organisational effectiveness.

Innovative performance management can play a major role in changing organisational processes and assist the organisation to adapt to the external environmental and increase the efficiency and effectiveness of internal processes and procedures (Walker et al., 2010: 370). For example the adoption of the balanced score card in the public sector increases employee and organisational performance leading to the alignment of organisational and environmental demands of quality public service provision of services at reduced costs (Boyne & Walker, 2002: 29). The focus on innovative performance management is performance improvement through coaching resulting in the organisation achieving goals because of the improvement in employee performance (Boyne & Walker, 2002:29). Innovative performance management focuses on best practice hence the improvement of employee performance. Its focus is different from that of traditional performance management whose focus is evaluation of performance.

Reforms in public management such as the introduction of performance management have been attempts to address issues such as goal ambiguity, low productivity, red tape and bureaucratic challenges (Rainey, 2003:47). Pollitt & Bouckaert (2004) have referred to performance management as an attempt to “manage for results” and Moynihan (2006) has stated that it is “managing for outcomes” (Heinrich, 2002:17). Performance management is associated with setting specific organisational goals and standards and assists employees to achieve set goals (Boyne, 2010:57; Jennings & Haist, 2004:34; Rainey & Rhu, 2004:53). Performance management empowers supervisors to make decisions and be responsible of the performance of their subordinates. Senior managers can intervene and take corrective measures where there is need to adapt organisational strategy (Walker & Boyne, 2006:82).

Innovative performance management can introduce practices that are new to the organisation. The aim is to improve organisational effectiveness (Walker et al., 2010: 371). Public sector innovations are likely to succeed where there is affinity of existing goals, targets and indicators with introduced practices to be implemented (Walker et al., 2010: 371). Over time innovations may change organisational goals depending on customer needs leading to new targets and indicators (Walker et al., 2010: 371). Innovations that are closely related to the mission and strategy of an organisation can assist to reinforce the implementation of innovative performance management (Walker et al., 2010: 371).

The primary purpose of introducing performance management in the public sector is to improve public management and outcomes (Heinrich, 2002:7120. Innovative performance management implementation addresses the issue of ambiguous goals in the public sector resulting from the complex nature of goals of different departments such as the police departments and health care departments (Rainey, 2003:48). Public sector organisations also employ people with different views on organisational objectives because of their diversity and those in management positions may lack cross – functional managerial skills resulting in lack of coordinating of individual and team activities as well as lack of efficiency and effectiveness (Rainey & Rhu, 2004:53; Rainey & Steinbauer, 1999:15; Weiss & Piderit, 1999:210).

Empirical evidence suggests the importance of strategic planning and target setting in managing performance to improve public service performance (Boyne & Chen, 2007:461; Hendrick, 2003:502; Hyndman & Eden, 2001:581; Walker & Boyne, 2006:378). Innovative performance

management is critical in the public sector because it facilitates the setting of performance targets and provides information for managers to measure progress towards the achievement of targets.

For implementation of innovative performance management to succeed, appropriate structures should be in place. Top management should intervene and change the direction of the organisation if they realise that there are challenges with performance (Walker et al., 2010: 372). Corrective action by management at the right time can reduce internal conflict by outlining clear lines of authority (Walker et al., 2010: 372). Environmental changes may require changes to be made to an existing model of performance management. When faced with challenges top management should not think that performance does not work hence Hamel (2006:75) states that managers may have to change how they do what they do by ensuring that mechanisms are put in place to make sure that an adopted innovation is successfully implemented. There is need to have appropriate performance management frameworks in place to ensure successful implementation because if these are not in place, implementation may not result in improved performance (Walker et al., 2010:380). Studies have demonstrated that performance management mediates the effect of innovation on performance through the setting of goals and indicators as well as a system of control that line managers can use (Walker et al., 2010:380).

Paladine (2011: 29) states the following as principles of performance management: the establishment and deployment of a performance management office and officer; effective communication of the strategy and budget as a commitment of the organisation; cascading and managing the strategy; improvement of performance with a focus on customer satisfaction and management and leverage of knowledge through best practices. According to Paladine (2011:29) implementation of performance management should follow these principles so that desired objectives are achieved.

The introduction of performance management in the public sector in Botswana resulted in new processes that were geared towards the improvement of service provision. The adoption of innovation in performance management was aimed at making employees of the public sector in Botswana to be aware of expectations so that they achieve set targets and assist departments to achieve objectives. The adoption of performance management would restore confidence to citizens so that they associate the public sector with a culture of performance. Performance

management is supposed to result in improved employee performance resulting in quality service provision for citizens.

2.15 PERFORMANCE MANAGEMENT MODELS

2.15.1 The concept “model”

The definition of the concept “model” is influenced by what one wants to ascribe it to (van der Waladt, 2013: 4). Mouton and Marais (1988:139) define the concept “model” based on its heuristic function. The concept originates from the Latin word “modulus” meaning “small scale,” (Botha, 1993:237).

Shoemaker, Tankard & Lasorsa (2004) in Van der Waladt (2013:4) point out that knowledge and understanding of scientists is generally represented by models that are scientific. Through science it is possible to create, verify and modify models. Little (2012) in Van der Waladt (2013:4) states that models are significant in scientific thinking and in solving practical problems. Davies and Lewis (1971:29) point out that when scientists investigate the reasons for a phenomena to behave in a certain way, the investigation leads to a theory building so that a solution to a particular problem can be explained using the relationship between the phenomena and the particular behaviour that is shown. Modern thinking in social sciences uses formal models to make useful predictions, understand and appreciate human experiences (Lave & March, 1993: vii).

The concept “model” can have different meanings depending on the context in which it is used and it can include structure and relationships among variables but at the same time may convey tentativeness and incompleteness (Lui, 2012:4). Abdulghafar (2011:108) concurred with this idea and noted that models suggest the existence of structure and relationships within variables. On the other hand Bailey (1978:435) views a model as a presentation of a system that is somehow different from the actual system although its accuracy is good enough to avail information about the system. Quade (1989: 143) perceives a model as standing in for reality assuming that it represents reality. Thompson and Strickland (1995: 875) also concurred with the view and defined it as the imagined simplification of phenomena that is more complex. De Vos et al. (2005:36) as well as Abdulghafar (2011:111) agree that models of social science do not contain all the features of the modelled system but only those required for the investigation or research.

Lave and March (1993:19) suggest the need for a model as part of a model building process. One of the challenges in model building is that there is a tendency to over – emphasise certain dimensions or elements thereby creating a perception that they are more important than others. This may result in a situation where focus is shifted away from variables that may be important.

2.15. 2 Characteristics of models

Characteristics of models include but not limited to the following (van der Walddt, 2013: 5): they are used to build theory; they generally fit the task; they stand in for reality; they direct inquiry; they make the presentation of a system easier; they tend to have a heuristic function; they show relationships among variables; they are not perfect and are not complete and they simplify explanations that may be difficult to understand.

In public management, literature gives a variety of meanings to the concept “model” and one can construct a typology of models. Mouton and Marais (1988: 137) perceive a typology as a conceptual framework for grouping function. A typology enables researchers to analyse phenomena. De Vos et al. (2005:35) define a typology as a way of classifying phenomena through the use of common characteristics. The aim is to arrange concrete forms into conceptual groups. Models can be grouped into the following types.

2.15.3 Models as theory building mechanisms

Lin (1976:42) argues that the use of models is an effective way of building and evaluating potential theories. This implies that a model can be perceived as a representation of a part of a theory. Other fields of study perceive a model as an analogy to a theory or a theory that is still to be validated (Lin, 1976:42). Williams (2003:45) views a theoretical model as a way of moving from the abstract to the concrete and Kerlinger in De Vos et al. (2005:39) suggests that a model originates from a theory but in social science models are generally first constructed and theory can be built eventually from the model.

Mouton and Marais (1988:139) state that in social sciences the semantic borders between theory and model are not that visible and as a result of this, the two concepts can be used as if they have the same meaning. The difference between theories and models may be based on differences of degree with models having a heuristic function and theories taking over the explanatory function (Mouton & Marais, 1988:139). Theory building and model building have been used as

alternative terms by Mouton (2011:176) and perceives the use of models in studies as an attempt to develop new models and theories or as a way of refining the ones that are already there. Popper in Snyman (1993:37) also uses models to give logical and rational discussions of social phenomena. Lin (1976: 43) suggests the use of models as a way of facilitating research from basic elements of a theory toward a validated one. To achieve this various models can be used including the following (Lin, 1976:43):

- Classification models – they give the values, categories or groups of a concept. The model can be built either through conceptualization or from observation.
- Typological models – they give the cross–distribution of two or more concepts. The fundamental need is for a dimensional model to be built for each of the concepts. The concepts are then cross classified depending on the dimensions shown by each one of them. The advantage of a typological model is that it is a suitable way of describing a function of the variables in a way that makes it easy to state effects.
- Contingency model – it gives the possibility that one type of a concept may occur, if another type of a corresponding concept occurs.
- Associative models – they give the linear tendency of relationship among the types of two or more concepts. This shows the possibility of observing each type of a concept under an enabling condition which the type of another concept may hold. It therefore explains a co–variational relation between concepts.
- Functional models – they show a one – on – one relationship between the groups of two or more concepts. This enables the researcher to make a prediction of every independent variable to a corresponding value of the dependent variable.

Lin (1976:52) states that the five models can be used in the construction of theory. Such a theoretical structure can assist a researcher to build models and theory (Guba, 1990:35; Sarantakos, 1993:9).

2.15.4 Models as metaphors or analogies

In science an analogy can be conceived as the relationship between a phenomenon or event that has previously been studied and another phenomenon or event that is the same as the one that has been studied but has not yet been studied (Bless, Higson–Smith & Kagee, 2007:14). An analogy enables a researcher to make conclusions based on similarities between objects as a result of

some of their properties. A comparison of the identified objects or facts as analogies enables a researcher to make conclusions on properties of objects that are less-known (Guba, 19990:97). When building a model, an analogy can be used when an object or phenomenon that is well known serves as a model for an object or phenomenon which is being investigated. When a researcher is building a model of the object or phenomenon various properties are identified for purposes of investigation (Bless et al., 2007:16). Models can suggest ways of responding to basic questions about unknown systems and lead the researcher to build new theories. Models can therefore be referred to as scientific metaphors and Mouton and Marais (1988:140) have referred to such a tendency as the “as if” character of models.

2.15.5 Models as ideal – types

There is an argument that society needs a lot more from the social sciences than its contribution so far and should not only answer the question “What is” but also the “ How should it be” question (Tangepera, 2008) in Van der Waladt (2013:8). Responding to this question De Vaus (1994:9) views ideal-type models as an excellent way of coming up with an outcome. In the field of social science this may include ethical perspectives such as models for good governance.

In the field of administrative science Max Weber perceives the ideal – type model as important for bureaucracies (Konig, 2003: 449) and to some researchers it is an empirical term while others view it as an area of objective correctness. Konig (2003: 449) is of the view that Weber’s bureaucracy has been perceived as a prescriptive and rational model in the area of public administration.

The building of an ideal – type model in qualitative research has an outstanding advantage (van der Waladt, 2013:8). Ideal-type models should be able to inform public employees on the roles that they should play at their workplace (Stout, 2009: 293). This should include the employees’ understanding of the public service; their concern on issues surrounding the public service; their commitment to the public service; their understanding of technical and democratic issues and the way they interact with politicians (Stout, 2009: 293). Stout (2009: 293) suggests the need for a trichotomous model as an ideal-type model for teaching public administration.

2.15.6 Models as an approach

Some researchers perceive an approach as a model and this is not correct (Van der Walddt, 2013:8). In the policy-making context Dye (1995: 17) views a model as an approach to the study of policy dynamics and explains that models assist in making the thought process simple and clear as well as directing inquiry and suggesting explanations for a particular policy related phenomena. The perception of an approach in its etymological sense is general in nature and usually based on a single central concept (Van der Walddt, 2013: 8). Models can also be perceived as a polished and more specific version of approaches (Van der Walddt, 2013:8). It is therefore possible to build models using one approach. In the field of public management approaches can be used as models when researching on administration, organisational dynamics and management (Fox, Schwella & Wissink, 1991:9). Examples of approaches include the behavioural, classical, open system and contingency approaches to research (Van der Walddt, 2013:8).

Cloete and Wissink (2000: 31) state that when analysing public policy, models can be divided into two broad groups as follows:

- Models that are suitable for analysing the content, results, impacts as well as the likely outcomes of policy, and
- Models that are suitable for analysing the process of making policy including the analysis of who is taking part in the process, why they are taking part and how they are involved.

These broad groupings can also be used in other areas of public management such as human resource management, organisational theory and project management (Van der Walddt, 2013:9).

2.15.7 Models as cases or scenarios

De Vos et al. (2005: 428) argue that it is a good thing for a researcher to start a study with a model case or model scenario. The case or scenario could be a certain situation, person, action or an event to which the concept that is being studied is appropriate. The implication in such a study is that the model case becomes a hypothetical situation appropriate to the concept Yin (2004) in Van der Walddt (2013:9). After the researcher has come up with a model scenario or case, a detailed analysis can then be done. According to De Vos et al. (2005: 429) the analysis should take into consideration elements of the scenario that are regarded as important to the phenomena

under study. The researcher should take note that in such a situation the concept “scenario” should be perceived as referring to the present situation rather than the managerial meaning of the concept that may refer to the concept as assumptions and mental models (Van der Walddt, 2013:9).

Case studies have been used in teaching public management and one of their strengths is that they can be useful in telling real life stories or experiences in the public sector (Andrews, 1953:215). Cases are useful in that they can be used for problem-solving and to gain some insights into other issues in public administration through sharing experiences and knowledge. They can assist practitioners to avoid re-inventing the wheel in the public sector (Van der Walddt, 2013: 9). This has led Barzelay (1993: 306) to refer to case studies as “intellectually ambitious inquiry” in the area of public sector research and Zainal (2007) as quoted by Van der Walddt (2013:9) concurs with this view adding that although the use of case study methods in collecting research data is still controversial, the methods are widely used and recognized in social science research especially when there is a need for in –depth explanations for social phenomena.

2.15.8 Models as simulations

Models can be perceived as simulations when referring to statistical, mathematical and computer – aided presentations. In social sciences computer simulations are still new and have been widely used from the 1090s (Gilbert & Troitzsch, 2005: 1). Simulations have the advantage in that they are an appropriate way of modelling and gaining insights into social phenomena (Gilbert & Troitzsch, 2005:1). A simulation can be defined as a particular type of modelling (Gilbert & Troitzsch, 2005:2) and Norlen (1976:172) states that simulations are appropriate to social sciences for statistical models used to predict values of dependent variables. Computer programmes can use simulations as a method of building certain theories and when a theory has been formalised into a programme, the reaction of a simulation can then be observed. Advantages of models as simulations include assisting researchers to understand and make predictions such as in demographical models (Gilbert & Troitzsch, 2005:4).

Simulation models in social sciences include the following: world models; micro-analytical simulation models; queuing models; multilevel simulation models; multi-agent models and learning and evolutionary models (Gilbert & Troitzsch, 2005:4). The advancement in technology has enabled the development of statistical techniques that can be used to build and test complex

models representing social behavioural processes (Van der Waladt, 2013:10). Such technology enables researchers to use tools that reduce the gap between theory and research and when a model requires a mathematical equation, inferences in behaviour can be made through a process of mathematical reasoning (Van der Waladt, 2013:10). For a model that requires a statistical equation, an analysis can be done using the Statistical Packaging for the Social Sciences (SPSS).

Computer simulation is likely to become an important method of evaluating theories in social sciences. An area that is developing in the same field is the Spatial Social Sciences which takes note of the important role of spatial concept such as distance, proximity, location, neighbourhood as well as region play in government spatial planning (O' Sullivan & Unwin, 2002 in Van der Walt, 2013:10).

2.15.9 Models as conceptual frameworks

There are two types of conceptual frameworks found in literature. Mouton and Marais (1988:137) view a conceptual framework as an attempt to give structure to theory and models. Two types of conceptual frameworks are identified namely typologies, theories and models. A conceptual framework can then be understood as a broad system under which theories and models are built in research (Mouton & Marais, 1988:137).

Viewed from a different perspective, a conceptual framework refers to the framework to which research in a practical situation will be built. In reference to this Smit (1985:9) perceives the significance of a model as a 'work scheme' when designing research and it also provides a framework for collection of data. Maree (2012:42) concurs with this assertion and views a model as similar to a conceptual framework and is the researcher's map of the area under investigation.

2.15.10 Models as graphical presentations and visual aids

In its basic form a model may refer to a graphical presentation of a process, function or system in the form of diagrams, tables, charts or figures (Van der Waladt, 2013:11). In this instance a model enables the reader to visually register and understand all the variables and relationships relevant to the research. Botha (1993:237) agrees that models could be in the form of simple diagrams that demonstrate a web of relationships between constructs.

As physical presentations, models can be used to assist research or to serve as a means analysing research findings and recommendations (Van der Waladt, 2013:11). This can be done by following the format of structural models, process, and sequence or content models. As graphical presentations models can also represent the content of a process and the relationships of variables that are in a model (Van der Waladt, 2013:11).

The following aspects should be considered when designing models of graphical presentations: structure or layout of the model; means of showing the relationship between variables; objective of the model; level of detail; and boundaries and scope of mode (Gilbert & Terna, 2000:58; Fan et al., 2012:784). Williams (2003:204) states that models could be used to show the findings of a research. In public management this type of models is known as “comprehensive” or “integrated” and they act as a graphical description of the expected ways in which public organisations can make improvements in structure, systems, processes, functions, behaviour and methods.

The following table provides suggestions of applications of the typology of models in public management research:

Table 2.4: Models

Type of model	Application in public management research
As instruments of building theory	Meta – theoretical, paradigmatic, theoretical and conceptual model – building aims at building knowledge in the following areas: • Culture (public service ethos and values, vision) • Environment (government, content, the political system, technology, societal needs) • Resource utilization (human, technological, financial) • Function (activities, procedures, processes, techniques, management functions, tasks and applications) and • Organisation and structures
As metaphors or analogues	• Attempts to appreciate the roles and influences of ▪ structure, leadership, organisations, human ▪ nature, values and bounded rationality • This may also include the application of theories from various references to practical challenges in governance
As ideal – types	This may include: • normative, ethical and behavioural models for shaping the professionalism in the public service • models for budget maximization • bureau – shaping models • models for comparing public administration • models for good governance
As approaches	This may include: • models such as the classical, behaviour, open systems and contingency schools • models to research specific applications such as organisational analysis, financial management, leadership, policy – making. Common models in policy include: group model; mass/ elite model; policy process models; institutional model; generic process model of policy development; policy network and communities model; social interaction model; functional phases model (De Coning & Cloete 2000:29; Roux et al., 2002:88)
As cases or scenarios	This may include case studies from: • public organisations in all departments • civil organisations • international and transactional organisations • non – governmental organisations • community – based organisations • regional organisations

As simulations	This may include: • GIS – enabled application models • computer – aided modelling • statistical modelling based on statistics • demographical studies
As conceptual frameworks	• At the abstract level, this could include theoretical frameworks for research design, and at the practical level it could include the structure of public management research that includes various dimensions and constructs • This can be used for producing knowledge and construction in inter -, multi -, and trans – disciplinary research
As graphical presentations and visual aid	This may include: • Visual presentations of findings of a study as structural, process or content models for use in public sector organisations • Research report writing

Source: Van der Waldt, 2013:12

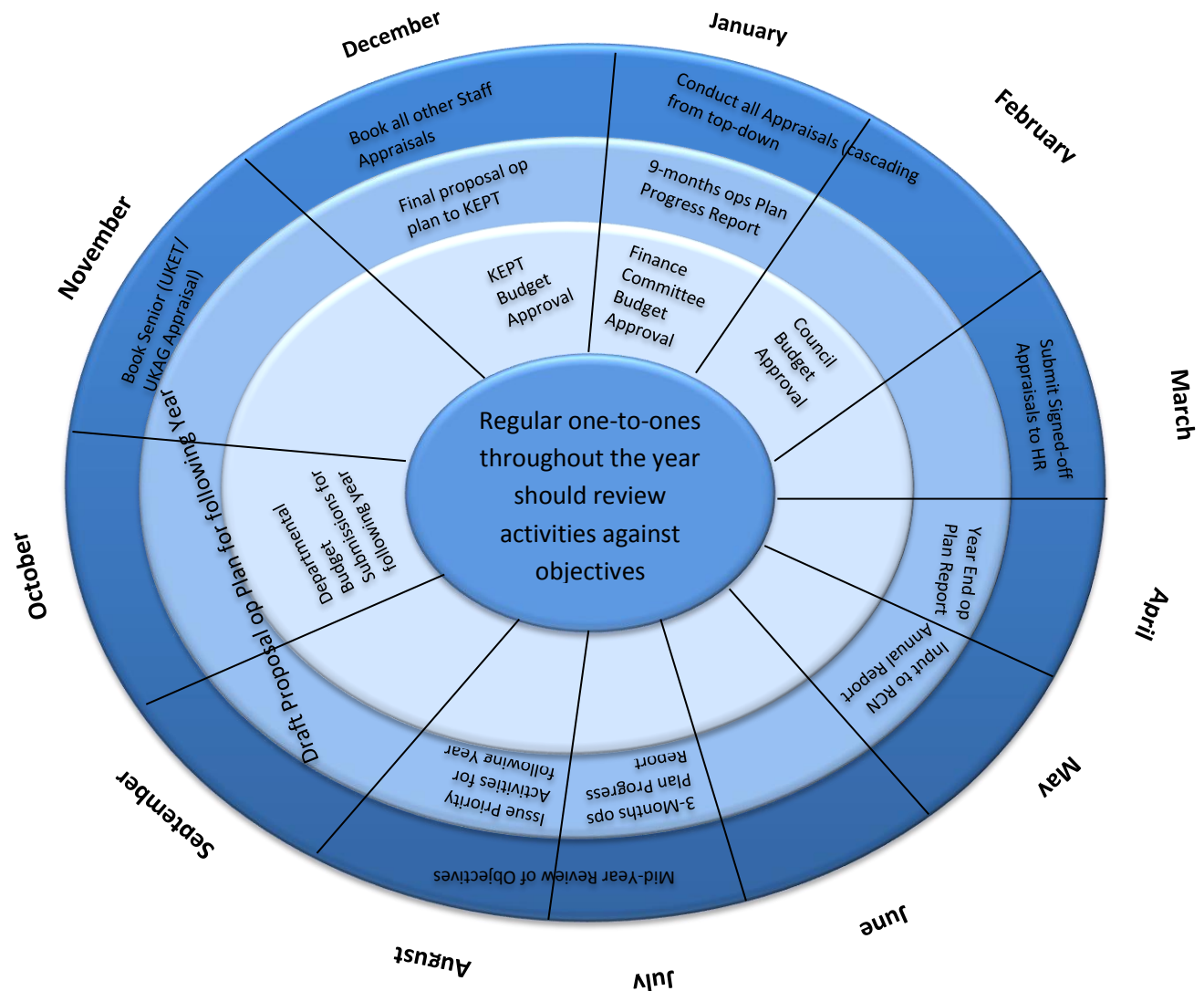
The following are models of performance management implemented in different organisations.

Figure 2.4: BP Lubricants' Communication and Engagement Value Tree



Source: Armstrong, 2009:190

Figure 2.5 Model of Performance Management system in the Royal College of Nursing



Source: Armstrong, 2009: 187

Organisations use different models of performance management depending on what is perceived as the model that will assist the organisation to achieve its goals. Different models for performance management in different organisations are identified by Armstrong (2009: 104) and factors that seem to be common in most of them include setting of goals or performance planning; performance development, performance improvement and rewards. The current model used in the public sector in Botswana does not include rewards. Perhaps this could be the reason why employees may not be motivated to improve performance.

2.16 MODELS FOR PERFORMANCE BASED REWARD SYSTEMS

2.16.1 Pay-for-performance

Pay for performance can be defined as a strategy for compensation where the performance of individuals influences rewards such as pay increase and bonuses given to an employee (Pichler, 2012:711)). Studies that have been carried out argue that pay-for-performance increases employee performance and productivity (Kim, 2016:150) and could be an important motivator for employees unless if there is a problem with the performance appraisal system (Meng & Wu, 2015:49). The fairness of the process is critical for the system to be perceived positively by employees. Pay for performance is based on objective assessment of an individual or department and individuals can be compensated for their own effort or the effort of a team of employees. For performance appraisal to be viewed as fair employees should understand the appraisal criteria, the process should not be marred with appraisal performance politics and there should be justice in the link between pay and performance (Kim, 2016:150). The extent to which performance appraisal is seen as fair by employees may affect its effectiveness in an organisation. A number of studies on pay-for-performance in the public sector have raised concerns on its effectiveness although its positive effect on performance improvement has been noted (Meng & Wu, 2015: 52). The issue of performance appraisal justice is therefore crucial if the system is to be effective.

Challenges that have surfaced in the fairness of appraisal processes include performance goals and evaluation criteria that are conflicting, diverse and difficult to measure (Koonmee, 2011:162). The other issue in the public sector has been lack of objective and clear data on employee performance resulting in a performance appraisal based on the supervisor's judgement and attitude on the performance of an employee (Koonmee, 2011:162). If the link between performance and pay is not clear, this could result in poor performance and negative attitudes towards the organisation (Heslin & Vanda Walle, 2011: 1696).

In the case of a team incentive programme, the compensation is shared among team members without considering how each of the team members performed because the incentive is for the team (Pichler, 2012:715). One of the major reasons for introducing pay for performance in the public sector is to improve employee motivation and achieve higher performance which will result in desired goals being achieved (Rubin & Kellough, 2012: 132). The assumption is that compensation is used as a way of managing the performance of employees. The other one is to

attract and retain talented individuals who are motivated and will be able to focus on their tasks and perform at higher levels (Nalbantian, Adkins & Mercer, 2014: 34). In an effective pay for performance set up, employees who are outstanding in their performance receive greater rewards in recognition of their effort and as a way of motivating them to continue performing at a high level. Average performers get less rewards and the assumption is that this will motivate them to improve their performance so that they can get better rewards (Belogolovcsky & Bamberger, 2012: 1214). Those who are performing poorly may not get pay increases and this could encourage them to put more effort into their work.

The pay – for - performance model is perceived as a reward model that has the ability to improve employee performance because of its ability to motivate employees and allow flexibility in the reward system (Bayo–Moriones, Galdon–Sanchez & Martinez–de-Morentin (2013: 1118). The linkage between pay and performance can increase productivity and enable an organisation to have a competitive advantage. Increased interest in productivity and improving customer service have prompted renewed interest in methods designed to motivate employees to pay more attention on meeting or exceeding customer expectations and increasing productivity (Nalbantian et al., 2014: 34). One way of doing this has been to link compensation to desired outcomes. Pay –for-performance (PFP) systems can be conceived as one of the characteristics of high performance especially if the PFP system is aligned with the strategic objectives of the organisation (Nalbantian et al., 2014:34). Many successful organisations have established a link between employee pay and organisational goals (Belogolovcsky & Bamberger, 2012: 1214). PFP comes in a number of systems and one of the common types is to tie pay to individual performance in a merit pay system. Some companies promote teamwork by linking pay to team or unit performance and others to company (Belogolovcky & Bamberger, 2012:1214).

Trevor, Reilly and Gerhart (2012: 597) argue that if an organisation wants employees to perform at a higher level, it should motivate them to be more productive by tying their compensation to a particular performance index. The assumption is that one way of influencing employees is through rewards. Herzberg's motivation theory claims that financial incentives do not motivate employees to improve performance but notes that the absence of financial incentives can create employee dissatisfaction or demotivation (Trevor et al., 2012: 597). Many organisations connect a part of employee compensation to the performance of individual employees or the performance

of the organisation or a combination of the two (Card et al. 2012:2984; Belogolovsky & Bamberger, 2014:1707). Employees should be compensated with equal pay for work of equal value as an incentive and recognition of excellent performance which assists the organisation to achieve its goals (Card et al., 2012:2984.).

In order for a pay-for-performance model to be effective, there is need for the system to be valued by the employees and the employees should also believe that they can achieve the desired levels of performance that will enable them to achieve organisational goals (Liu, 2013:526). They should also believe that if they achieve the required level, their effort will be rewarded. The organisation should also meet certain requirements in order for the model to be effective and these include an organisational culture that supports pay-for-performance, a fair and effective supervision process and a performance evaluation system that is perceived as effective by both supervisors and employees (Liu, 2013:526). The most common incentive in the pay – for – performance model is monetary with other incentives such as promotion or public recognition for high performers also making the list.

Motivation plays an important part in the achievement of organisational goals. Motivation theories such as expectancy theory provide a convincing logic on why pay- for performance can motivate employees to enhance their performance and direct their effort to the achievement of organisational goals (Liu, 2013:526). Pay-for-performance is likely to be successful if certain conditions are met. They include the understanding of performance goals which are perceived as doable by the employees when they consider their capabilities, skills and any difficulties that may be in their way when they consider the structure of the task (Liu, 2013:526). The employees should also be able to perceive the link between performance and pay increase which is consistent. The employees should also view the increase as meaningful and worth the effort they will expend to achieve desired outcomes (Liu, 2013:526).

The goal – setting theory complements the expectancy theory in predicting the expectations that employees will have if there is a link between pay and performance (Martin et al., 2016: 91). The goal setting theory assumes that employees are motivated if the goals are specific and moderately challenging (Martin et al., 2016: 91). If the pay-for-performance system is well structured, employees will be motivated to increase performance because of the expectations of better rewards. Both the goal-setting theory and expectancy theory assume that pay-for-performance

systems can improve performance by motivating employees to focus effort on set goals and increasing the likelihood that the set goals will be achieved (Martin et al., 2016: 91). The implications of the reinforcement theory assume that high levels of employee performance that are followed by a monetary reward are likely to result in future high performance levels (Liu, 2013:526). Equity theory suggests that employees have certain perceptions about their contributions to the achievement of organisational goals and what they get in turn as rewards (Liu, 2013:526). If they perceive the rewards to be equal to other employees who put the same effort, then they get motivated but if they feel there is inequity in the returns, they become demotivated.

Recognition of effort is important for motivating good practice and financial rewards are a strong incentive for driving employees to achieve set goals (Liu, 2013:526). A financial reward system for performance should be well balanced so that it does not demotivate employees and result in failure to achieve goals.

2.16.2 Models of performance – based reward systems

Performance-based rewards or incentives are basically based on the theory of motivation as well as conventional wisdom. The hierarchical needs theory of Maslow states that incentives can motivate employee needs. The expectancy theory of motivation argues that if employees are aware that certain performance results will result in the awarding of rewards, they improve their performance to higher levels to achieve the rewards (Adler, 2013:15).

There are various models of performance – based reward systems and they include individual incentive plans, merit pay plans, group incentive plans and knowledge and skill - based compensation (Merchant et al., 2011:641).

Table 2.5: Models of Performance – Based Reward

Characteristics	Individual incentive plans	Merit pay plans	Group incentive plans
Recipient of incentive	Individual employees	Individual employees	Team or organisation
Type of incentive	Financial, promotion, bonus	Financial	Financial shared by the group
Areas evaluated	General performance and accomplishments	Accomplishments	Achievement of goals
Who evaluates	Supervisor	Supervisor, peer review	External reviewer
Duration of compensation	Generally annually	Varied but generally annually	Generally annual bonus
Relationship with existing compensation	Replaces the salary scale	Can supplement or replace salary scale	Supplements salary scale

Adapted from Adler (2013:16)

2.16.3 Individual incentive plans

Incentives are generally associated with the achievement of previously set goals or targets aimed at motivating individuals to increase performance and attain higher levels of performance (Belle & Ongaro, 2014:385; Card et al. 2012: 2984; Dohmen & Falk, 2011:562. Incentives are known beforehand as a way of motivating employees to improve performance. Common team based pay schemes are incentives as opposed to rewards (Maille & Collins, 2012:30; Selviaridis & Norman, 2014:162).

Individual incentive plans focus on an individual employee and pay increase or bonus is determined by the performance of an individual (Merchant et al., 2011:642; Belle & Ongaro, 2014:386). The measures that are used are generally quantitative and the individual is able to exercise direct control of one's performance so that one can be rewarded (Frank & Slapnicar, 2012: 4287). The individual is able to dictate their performance and achievement of goals is not likely to be distorted because the measures are quantitative (Yannis, Iossa & Tabvuma, 2011:476; Belle & Ongaro, 2014:390).

Individual incentives offer more meaningful rewards than merit incentives because of quantitative measures that are used. Individual incentives also meet many assumptions of the expectancy and goal – setting theories of motivation. If an individual accepts the goals and perceives them as achievable, one is motivated to increase performance to the required level provided the incentive is meaningful to the individual (Belle, 2015:231). Individual incentive plans seem to be more effective if employees perform simple structured jobs, performance goals are quantitative and controlled by the employee (Belle, 2015:231). The goals should also be relatively simple to understand and the rewards offered for accomplishing the goals should also be meaningful.

Individual incentive plans may also result in unintended consequences such as employees neglecting tasks that are not included in their performance goals and also including performance data on tasks that are outside their goals especially if they do not trust their supervisors (Lucifora & Origo, 2015: 606; Long & Fang, 2012:607). Employees may also not respect work group norms resulting in negative social outcomes for employees who achieve their goals (Lucifora & Origo, 2015:606). Individual incentive plans may therefore not be effective in situations where tasks are complex and require groups to cooperate and in situations where employees do not trust their supervisors (Corneli-Ben, Heywood & Jirjahn, 2011: 234). In situations where tasks are measured on their quality rather than quantity, individual incentive plans may not be the best option. For organisations to avoid some of these challenges, the merit of group incentive plans may be appropriate.

2.16.4 Merit pay programmes

The New Public Management agenda has introduced a number of innovations in the public sector including merit – based pay systems (Choi & Whitford, 2013: 1). The reason for introducing merit – pay in the public sector is to improve the alignment of pay and performance (Choi & Whitford, 2013:1). The expectancy theory of motivation says if employees are aware that their effort will be rewarded, they will increase their effort so that they are rewarded (Adler, 2013:5). Conventional wisdom also argues that high performers should be rewarded more than average or satisfactory performers (Adler, 2013:5). Proponents believe that supervisors should be able to identify high performers and pay-for-performance is one way of identifying and recognising high performers (Choi & Whitford, 2013:2; Adler, 2013:7). Those who advocate for

pay-for-performance say that traditional pay structures used in the public sector with pay increases based on seniority are outdated and do not motivate individuals to perform (Wright, Donald & Pandey, 2012: 210).

Many governments have introduced merit pay systems as part of reforming public service performance. There is research evidence that merit – pay systems improve performance in the private sector and the assumption is that the same could happen in the public sector (Battaglio & French, 2016:124). One of the assumptions is that merit-pay influences the satisfaction of employees with their pay and encourages them to improve performance (Choi & Whitford, 2013:2). In the United States of America merit - based - pay was introduced in the public service because of the belief that financial incentives can effectively motivate employees if they are implemented carefully (Barbosa, Bucione & Souza, 2014: 6). Proponents of merit pay believe that if earnings of employees are increased, individuals become satisfied with their pay and increase their effort in attaining organisational goals (Bucione & Souza, 2014:6). Employees become optimistic about the organisation and they become motivated. When individuals perceive that their efforts are recognized through rewards, they experience feelings of esteem and accomplishment (Battaglio & French, 2016:126; Bucione & Souza, 2014:6).

Merit pay programmes are targeted towards individual employees. Most organisations use a “merit grid” that guides supervisors to allocate salary increases according to stipulated salary grades, one’s position in the salary grade and one’s performance appraisal rating (Bucione & Souza, 2014:6). The performance appraisal is both qualitative and quantitative. The appraisals would group employees into three groups, namely top performers, acceptable performers and unsatisfactory performers (Bucione & Souza, 2014: 6).

Global challenges that have been identified in implementing successful merit programmes in the public sector include lack of funds to support the programmes, the failure by supervisors to identify high performers and disagreements on appraisal ratings between supervisors and subordinates (Choi & Whitford, 2013: 5) The other challenges include lack of employee confidence on the instruments and methods used to appraise them, lack of confidence on the ability of supervisors to conduct fair appraisals and resistance by bureaucrats to adopt private sector tools (Choi & Whitford, 2013: 5). Subjective performance evaluations can demoralise employees and make them lose confidence in the merit pay system. If evaluations are not

objective, employees end up focusing on goals that may not improve organisational goals. If employees become frustrated they get stressed because of unmet expectations due to what they perceive as an unfair system, they may blame the organisation for failure to reward bonuses (Choi & Whitford, 2013: 5).

2.16.5 Group incentive plans

Group or team based pay can be defined as a variable pay plan designed to reward employees collectively on the basis of their performance (Grissom & Strunk, 2012: 667). One of the reasons for encouraging employees to work in teams is that members are more productive when they work as a team than they would if they worked as individuals (Nelson, 2015: 149). In organisation there are certain tasks that may not be accomplished by an individual. Tasks such as a project require team members to use their complementary skills in order for the project to be accomplished. In such situations it is difficult to evaluate the contribution of an individual from the rest of the team members and it therefore makes sense to reward the employees as a team

Group incentive plans address issues of work group cooperation as well as group performance norms and motivation. The incentive plans usually tie pay-to-performance of the group or team. Examples of incentives may include bonus, increase in base pay, gifts or trips (Belle & Cosi, 2013:135). Non-financial recognition may include praise from supervisors, written recommendations by management and display of deserving employees on notice boards (Grissom & Strunk, 2012:670; Belle & Cosi, 2013:135). Financial incentives are said to affect an individual's motivation differently than intangible rewards such as positive feedback (Belle, 2015:233). The tendency of lumping financial and non- financial incentives into the same category obscures the way non-financial incentives are perceived by employees (Belle, 2015:233).

The incentives are usually linked to quantitative measures of performance and the pay-outs are generally large and separate from the base salary (Nelson, 2015:152). The incentives are linked to aggregate group performance rather than individual performance. Unlike individual incentives, where the motivational potential for improved performance can be predicted through expectancy and goal-setting theories, in group incentives conditions such as whether goals are doable or the link between performance and pay may not be well satisfied (Nelson, 2015:152). Individuals may not clearly evaluate how their effort can be translated into the performance of

the group on which the payout will be based (Nelson, 2015:153). When employees are paid an equal amount based on team effort, the pay generated by the effort of the employees is a public good and is non - exclusionary and non -rival in consumption (Nelson, 2015:152).

However there are a number of objectives for team based incentives. They include linking pay with performance, increasing productivity through performance as well as enhancing teamwork (Wright, Donald & Pandey, 2012: 210). Other objectives include improved quality service and customer satisfaction as well as encouraging employee involvement (Wright et al., 2012: 210).

For groups to achieve organisational goals, it is important that members communicate effectively and share information related to work plans and performance, involve group members in decision making and cooperate in implementing group plans (Wright et al., 2012: 210). In the public sector it is important for organisations to deal with performance appraisal in a way that will make pay-for-performance balance individual and team based pay-for-performance so that employees trust the process and have faith in the system (Kim, 2016:164).

One disadvantage of group incentive schemes is that of free-riders (Nelson, 2015:156). Employees are free-riders when they do not contribute to the team effort but benefit from contributions made by other team members. If an organisation wishes to implement team rewards, there should be a reason for doing so. For example if complementary skills are required to perform a task, then team work should be encouraged. Incentives have more impact if teams consist of a few people.

2.16.6 Tournament wage model

The model can be likened to two workers competing for a prize in a tournament. The prize is a promotion awarded to the winner and is based on effort. The supervisor has to decide who wins the prize between the two employees based on their effort. In the tournament wage model, individual pay varies significantly depending on the career level of an employee with less emphasis on differentiation on employees' performance in the same level (Nalbantian et al., 2014: 34). In this model employees compete to be promoted rather than getting worried about the amount of base pay increase or annual incentives and this is what motivates employees (Nalbantian et al., 2014: 34). In this model those who are good performers earn more through promotion which is based on performance evaluation. The model induces employees to improve

performance so that they can be promoted and get a pay rise (Nelson, 2015:107). After the tournament one employee is promoted and the salary is increased bringing the tournament to an end. This implies that salaries are set to provide incentives to employees at the next level down rather than the employees who are actually receiving that salary (Nelson, 2015:123; Ederhof, 2011:142). The other implication is that an individual's current pay is not related to the activities of the individual (Nelson, 2015: 123). When the model is used to motivate employees, pay is not based on current performance but on previous performance and individuals are motivated by future pay rather than the current one (Nelson, 2015:123; Trevor et al. 2012: 593; Conroy et al., 2014:22).

When an employee is promoted to a senior position, pay also increases. Pay at the next level is what motivates individuals who are below that level (Shin et al., 2015:55). Employees below a certain level are motivated by the pay at the next level and are aware that they can get to that level if they improve performance and get promoted. When they get that level, they again get motivated to perform well so that they can be promoted to the next position and get another salary raise (Shin et al., 2015:55; Faleye, Reis & Venkateswaran, 2012:44). The possibility of being promoted to the most senior position motivates all employees while motivation to lower levels motivates those who have not reached that position.

The model has implications if an organisation hires someone from outside the organisation ignoring talent which is in the organisation. Hiring someone from outside removes motivation from employees in the organisation who were competing to be promoted to that position and this lowers their marginal expected benefit of effort (Nelson, 2015:123). The assumption of those who were competing for the position will realise that the marginal probability of a promotion in the organisation is low, regardless of how much effort they put into their work (Nelson, 2015:124). If improving one's performance will not result in a promotion, individuals who had hoped to be promoted will be demotivated. The optional values, associated with such a practice will bleed down the lower levels of the organisation where employees realise that getting the top prize in the tournament is not feasible because the marginal probability of getting promoted is diminished and the marginal expected benefit from improved performance is also diminished (Nelson, 2015: 124).

Using this model is meant to encourage employees to get involved in productive activities that are valued by the organisation. The individual's reward for engaging in such activities is an increased opportunity of getting promoted and a salary raise (Nelson, 2015:124). A limitation of this model is that it gives employees the incentive to do any activity that enhances their chance of getting promoted regardless of whether the organisation values the activity or not (Nelson, 2015:124). For example an employee might do activities to please the supervisor even if the activity does not benefit the organisation.

Influence activities are those activities done by the employee to improve one's chances of promotion regardless of whether the activities benefit the organisation in any way (Shin et al., 2015: 56). In many instances such activities are harmful to the organisation because they take away the productive time of the employee (Nelson, 2015:129). Employees end up trying to please those involved in promotion decision making. Backstabbing other competitors in the race is also a feature of this model and this can take many forms in an attempt to make other competitors look bad.

2.16.7 Efficiency wage model

In the efficiency wage model individual pay including benefits is above the market rate and employee performance should be of a high standard to justify their continued employment in the organisation (Nalbantian et al., 2014: 34). The argument put forward in this model is that employees will exert extra effort if an organisation pays them salaries that are above the market rate (Nelson, 2015: 133). The efficiency model implies that employees are paid above normal rates of paying and in return the employees also exert extra effort (Nelson, 2015:134).

Both parties are said to use an efficiency wage model if the employee chooses to exert extra effort in one's work and the organisation also chooses to pay above normal remuneration (Nelson, 2015: 134). The efficiency wage model can be viewed as a carrot – and stick method of motivation (Nelson, 2015:143). A high future salary acts as the “carrot” used by the organisation to reward extra effort and termination of employment is the “stick” used to punish an employee for reduction of effort (Conroy, 2014:32). The employee also uses the possibility of future extra effort as the carrot that rewards the organisation for paying the employee a high salary and resigning becomes the stick used to punish the organisation for reducing an employee's salary

(Nelson, 2015:143). The model implies that future rewards and punishments can be used to motivate employees to improve performance.

There are a number of reasons for organisations to introduce efficiency wages including norms of fairness and reciprocity, attracting employees who can perform lower turnover and to increase productivity as well as discouraging the influence of trade unions (Cobb, 2016:327).

2.16.8 Bonding wage model

The model is planned in such a way that pay increase is shifted to a later stage of one's career when the individual has demonstrated credible performance (Nalbantian et al., 2014:34). The employee and the organisation agree on a life – long incentive where the employee does not receive full compensation for work that has been done until the end of one's career (Nalbantian et al., 2014: 34). The model makes the employee stay in the organisation for a long time which is important for ensuring increased productivity because of the experience that the employee will gain (Nalbantian et al., 2014:34). As a result of this arrangement, the job continues to be valued by the employee and the individual has reason to stay on the job. Life-long incentives also enable an organisation to screen out employees who do not want to stay in the organisation for a long time.

When employees join an organisation, they earn less than their full productivity when they are still young and then later the organisation pays them more than their productivity (Axelson & Bond, 2015: 19). At the beginning of their careers, the job is not valued by the employee and some mechanism should be adopted so that the employee can value the job. Some organisations request employees to post bonds at the beginning of their careers (Axelson & Bond, 2015:1950).When the employees are older; they receive higher wages and pensions. The wage experience profile in this model is upward sloping for reasons of creating incentives. The employee continuously weighs the consequences of shirking against what would happen and in most cases decides that the loss would be too much. At the beginning of one's career, the employee has not much to lose and the value of the implicit bond is zero (Bell & Van Reenen, 2014: 15). The challenge with the model is that high wages later in life may not correspond with productivity (Bell & Van Reenen, 2014: 15).However the high wages are taken as compensation for past productivity.

2.16.9 Implications of rewards on performance management

Performance management is basically about developing people and rewarding them for their effort. Armstrong (2009: 250) argues that performance management can be used in the total reward system of an organisation in which reward elements may be grouped together and integrated as a whole. The elements may include base pay, employee benefits, contingent pay as well as non – financial rewards (Armstrong, 2009:250). Performance management can be used in an organisation to get employee ratings that will be used to determine performance related pay. Performance management can assist to allocate rewards and encourage employee engagement and commitment (Armstrong, 2009:250).

Armstrong (2009:251) argues that performance management is not inevitably associated with pay although this is the general perception. Organisations that link performance with pay have to make decisions based on assessing the performance of employees and rate their performance. Ratings can then be used to inform contingent pay decisions (Armstrong, 2009:252).

Other organisations do not use ratings but use holistic assessment that includes the level of contribution to determine rewards in the form of base pay increases or bonuses (Armstrong, 2009:252). Assessment would include the contribution of the individual to the success of the team as well as the level of competence that the employee has deployed. Those who have contributed at the level that is expected are paid at the reference point for that grade because of their competence (Armstrong, 2009:252). If the manager is of the view that there are individuals who are paid below the reference point and yet their contribution deserves to be rewarded at the reference point, their pay is increased so that they are paid at the level of their colleagues or near the level of their colleagues if the increase is phased (Armstrong, 2009:252). Some employees may be paid above the reference point if their contribution is outstanding or if their worth in the market is higher.

Policy guidelines of an organisation are usually used to assist managers to make decisions on employee rewards. The average pay for employees in a certain grade should be associated with the reference point except in cases where there are special market factors that justify a rate which is higher (Armstrong, 2009:252). Employees who are at or above the reference point and their contribution is good may be given a cash bonus.

2.16.10 Performance management and pay

Armstrong (2009:253) argues that using performance management to decide on pay awards may be against the developmental purposes of performance management. If ratings are used the implication is that the performance review meeting will be dominated by ratings and how much money an individual will get as a result of the ratings. Issues concerning the developmental aspect of the employee may not feature much in the meeting because of pay issues (Armstrong, 2009: 253). Some organisations ensure that the two issues are not discussed in the same meeting but in different meetings that may be months apart so that each is given the attention it deserves without the interference of the other one (Armstrong, 2009:253).

Separating the two is however not easy and Kessler & Purcel (1993) quoted by Armstrong (2009:253) argue about the practicality of separating performance review and performance related pay and they doubt if in practice managers may find it realistic to separate the two. It can be argued that even if they are done separately, the review meeting can be an indicator if performance will be rewarded at the end of the year and if ratings are low, the employee would not expect any reward for performance. Armstrong (2009:254) recommends that there should be procedural justice in assessing performance and the assessment should be based on credible information that will result in an informed opinion; the employee should contribute to the process of getting evidence to support the assessment; the employee should be informed on how and why the assessment was done and the employee should be given an opportunity to appeal against the assessment if one perceives it as unjust.

2.17 CHAPTER SUMMARY

The chapter reviewed motivational theories that underpin performance management namely goal theory, control theory and social cognitive and also reviewed other motivational theories because of the role they play in motivating employees to perform. The chapter also attempted to link the relationship between motivational theories and performance management. The chapter attempted to establish that motivation theories can assist managers to create a working environment that would motivate employees to perform and that the main reason for motivating employees is to increase productivity. Motivation theories that were explored include the goal – setting theory which helps employees to be committed to their goals and work towards the attainment of goals. Benefits of goals were identified as increased performance as a result of motivation, clarity of

expectations, provision of direction and focus as well as monitoring the progress of the employee towards goals.

The second theory that was explored is the expectancy theory which associates employee performance to the expectation they will get as a result of their action. The theory assumes that employees have personal goals that can be fulfilled by organisations through rewards. The value that employees place on the rewards can motivate them to improve performance. The introduction of performance management in an organisation is to improve performance and if organisations were to reward employees for high performance organisational goals would be achieved because employee performance would improve as a result of expected rewards.

The third theory is the equity theory which argues that individual employees compare themselves with other employees who have the same credentials with them in the organisation in terms of rewards. Comparisons used by employees may include educational background, experience, hours worked, skills and performance results. The theory advocates for equity when allocating rewards so that employees do not have perceptions of inequalities. Performance reviews of employees should also be viewed as fair by employees especially in an organisation where rewards are based on performance. If employees perceive that the supervisor is not fair in allocating employee ratings that can frustrate employees and they might not be motivated to improve their performance.

The fourth theory is the reinforcement theory which relies on the law of effect and says that behaviour that has pleasant consequences is likely to be repeated and that which has negative consequences is less likely to be repeated. When rewards are provided as a result of improved performance they will motivate the employee to continue performing to get more rewards. Performance management that is accompanied by rewards for high performance will motivate the employee to improve performance and get more rewards leading to the organisation achieving its goals.

The fifth theory is the social learning theory which argues that the behaviour of individuals can be explained by symbolic processes, vicarious learning and self – control. Individuals are able to overcome challenges without considering all the alternative courses of action. Individuals can learn by observing others and they can control their behaviour by setting standards and providing

consequences for their actions. When implementing performance management the setting of performance standards and assisting employees through coaching would result in performance improvement.

The sixth theory is Maslow's needs theory which argues that individuals are motivated by needs. The needs include the basic physiological needs, safety needs, belonging needs, esteem needs and self-actualisation needs. The implementation of performance management in an organisation should address employee needs such as rewards so that employees become motivated and improve performance.

The seventh theory is the two - factor theory which argues that intrinsic motivation plays a major role in motivating employees. The theory identifies factors that make individuals satisfied with their jobs and they include responsibility, the work itself, recognition, growth and achievement. The theory implies that if managers want employees to be motivated they should give them challenging tasks. If tasks are challenging they motivate employees and that results in improved performance which is what performance management is about.

The eighth theory is the ERG theory which seems to be derived from Maslow's needs theory although it has three levels. The theory argues that individuals concentrate on those things that are necessary for their existence. When implementing performance management it is important for managers to provide opportunities for employees to satisfy growth needs so that employees become motivated and continue to have an interest in the needs. When employees are motivated they also improve performance leading to the organisation achieving its goals.

The ninth theory is the acquired – needs theory which argues that needs are acquired or learned through one's experiences in life. According to the theory individuals are motivated by achievement, affiliation and power. The introduction of performance management in an organisation is to achieve objectives and the theory implies that managers should assign challenging tasks to employees as this will motivate them to improve performance and accomplish given tasks. The theory also advocates for feedback on employee performance and this is how performance management processes also require managers to do.

The chapter then reviewed the innovation theory with reference to the public sector and also looked at the role of policy makers in public sector innovation. Innovative performance

management in the public sector aims at introducing a culture of performance leading to improved service delivery for citizens. Types of innovation in the public sector were also identified and explained. Innovative performance management was said to have a positive effect in an organisation and can assist the organisation to adapt and be relevant in addressing the demands of customers.

The chapter also explained models of performance management used by different international organisations. The organisations include the following: Standard Chartered Bank; Pfizer Inc; Royal College of Nursing; Victoria and Albert Museum; Yorkshire Water; Raytheon; DHL; Astra – Zeneca Company; CEMEX; Centrica and HalifaxBoS.

The chapter also discussed reward models that can be adopted by organisations in implementing performance management. They include pay – for performance models such as individual incentive plans; merit pay programmes; group incentive plans; tournament wage model; efficiency wage model and bonding wage model.

CHAPTER THREE

IMPACT OF PERFORMANCE MANAGEMENT ON THE PERFORMANCE OF EMPLOYEES

3.1 INTRODUCTION

Several studies have been carried out since the introduction of performance management in the public sector in Botswana (Dzimbiri, 2008; Sisa, Westhuizen & Naidoo, 2015; Mothusi, 2008; Bulawa, 2013). Some of the authors have highlighted the non-improvement of employee performance since the introduction of performance management in the public sector. Others have reviewed what top government officials have said on low productivity and service quality in the public sector. Literature from these authors has revealed that some government projects have not been completed for various reasons.

These studies have identified several issues on the implementation of performance management in the public sector in Botswana including the full payment of incomplete government projects (Dzimbiri, 2008); the shortage of resources to implement performance management (Bulawa, 2013) and the importation of performance management models from other countries (Mpabanga, 2016). These studies have revealed some interesting findings. Firstly, there were implementation challenges from the inception of performance management because of lack of knowledge on the reform by local consultants who were in charge of training public sector employees. Secondly, funds had not been budgeted for rolling out the programme once it was introduced. Thirdly, the innovation was imported from developed countries and lastly, very little was done to ensure that it was suitable for local conditions.

Most of these studies were either confined to a school or department and did not focus on the implementation of performance management in an entire ministry let alone the two biggest ministries in Botswana which are education and local government. This study attempted to fill that gap. The biggest ministry is local government and it was the last ministry to introduce performance management (Mothusi, 2008:87). None of the studies seem to reveal why there was a delay in introducing performance management years after the other ministries had done so. The ministry of education is the second largest in the country (Bulawa, 2013) and studies have not focused on the implication of the size of the ministry for effective implementation of

performance management. The two ministries seem to have the most challenges in employee performance resulting in poor productivity (Mothusi, 2008:76).

There is need for a clear understanding on the impact of performance management in these ministries to enable the designing of policies that would result in improved employee performance. There are performance challenges in the public sector in Botswana and government officials have raised concern on the quality of service provision to customers (Mothusi, 2008: 22). While there is a growing body of literature on the importance of innovative performance management and its relevance to the public sector, very little has been done to try and identify the impact of performance management on employee performance in the public sector in Botswana. There is evidence that innovative performance management has a positive impact on the performance of employees globally (Andrews, 2014: 4; Vigaro, 2013:23; Dechev, 2010:12).

Where attempts have been made to focus on performance management in the public sector in Botswana (Dzimbiri, 2008; Mothusi, 2008; Mpabanga, 2016) areas of focus have excluded the impact of innovative performance management on employee performance and yet it is a crucial areas in the improvement of performance. For the purpose of bridging the understanding of the impact of innovative performance management in the public sector in Botswana, this chapter focuses on how performance management impacts on the performance of employees.

The specific objectives of this chapter are to:

- analyse the impact of performance management in the public sector globally
- establish the impact of innovative performance management on the performance of employees in the two ministries in Botswana
- assess how innovative performance management changes the behaviour of employees
- analyse if the two ministries are innovative in performance management

3.2 PERFORMANCE MANAGEMENT CONCEPT

Performance management can be defined as the management's application of processes to ensure performance optimisation in an organisation (Halachmi, 2011: 3). Andrews (2014:2) describes performance management as policies, techniques and strategies aimed at directing managers and employees to focus on the improvement of performance in an organisation. Weiss et al., (1997) in Andrews (2014:2) view performance management systems as a process for establishing a

common understanding of what is to be achieved and how it should be achieved as well as managing people in a way that will enhance the chances of success. Korir, Rotich & Bengat (2015: 42) define performance management systems as processes put in place by management to enable employee performance to be linked to rewards.

In the public sector performance management focuses on managing for results which include inputs such as budgets and staff as well as managing processes such as rules and structures (Andrews, 2014: 3). Performance management enables an organisation to achieve efficiency, effectiveness and competence (Korir, Rotich & Bengat, (2015: 42). Performance management includes the elements of performance measurement, setting targets and rewards or sanctions (Andrews, 2014:4). It also includes gathering of information, setting standards and behaviour modification (Andrews, 2014:4).

Halachmi (2011:25) identifies the following as results of an effective performance management system: alignment of objectives of the employees to those of the organisation; enhancement of employee motivation; linking employee perceptions of their performance with pay; provision of information on organisation and employee performance; improvement of organisation and employee effectiveness; increasing employee accountability; provision of organisation and employee efficiency.

Effective management systems can be developed by including a number of stages. Managers or policy makers have to select performance indicators for analysing the organisation's achievements over a certain period of time or for comparing the achievements with other departments (Fording & Schram, 2011: 206). Managers should define expected standards that should be attained in relation to minimum standards (Fording & Schram, 2011:206). They should then apply appropriate tools of control to motivate employees to achieve the expected standards (Fording & Schram, 2011: 206).

In the public sector the implementation of performance management takes place at two levels namely across sets of departments using the same policy field and at the micro level within the departments such as a council (Ward & John, 2013:5). At the field level, initiatives focus on the development of performance contracts to achieve targets. Management focuses on attempts to improve the use of performance information through instituting formal performance planning or

benchmarking with other departments to learn and improve (Ward & John, 2013:5). The policy field level focuses on targets and performance contracts as a way of motivating departments to perform better because activities such as goal setting reduce ambiguity on what departments should be able to achieve (Ward & John, 2013:5). At the organisational level, performance information assists managers to formulate, implement and monitor the achievement of goals (Koning & Heinrich, 2013: 469).

Armstrong (2009:59) gives the following as objectives of performance management:

- The development and improvement of performance of individuals, teams and the organisation
- Changing the culture of an organisation to a high performance culture
- Developing the capacity of individuals to meet and exceed expectations leading to the achievement of an individual's full potential
- Provide support and guidance for individual employees so that they can develop and improve

The implementation process of performance management should be guided by the following stages and it would be interesting to find out if the implementation of performance management in Botswana follows these stages:

3.3 STAGES IN THE DEVELOPMENT OF PERFORMANCE MANAGEMENT

The development of performance management involves a number of stages as follows:

3.3.1 Identification of mission, goals and objectives

The first stage is to identify and develop the mission, strategic goals and objectives of the organisation (Armstrong, 2015: 17). The mission statement , goals and objectives provide the direction that the organisation is taking and what needs to be accomplished as well as enabling the formulation of departmental and individual goals and objectives so that the mission can be realised (Armstrong, 2015:17)

3.2.1.1 Formulation of departmental and individual objectives

At this stage the mission, goals and objectives of the organisation are translated into departmental and individual goals and objectives. The individual goals should be aligned to the

goals of the organisation because their achievement will lead to the achievement of organisational goals (Armstrong, 2015:17). The goals of individual employees are their targets and the supervisor and the subordinate should agree on these to create a sense of ownership on the part of the subordinate (Armstrong, 2015:18). This stage includes clarification of job roles, responsibilities and expected standards of performance and explanation on how the achievement of the objectives will lead to the overall achievement of organisational goals (Biron, Farndale & Paauwe, 2011: 1299). Individual objectives clarify to the employee how performance will be measured.

3.3.2 Signing of performance agreement

The performance agreement includes decisions made by the subordinate and the manager during the planning stage of performance. It establishes the basis for managing the performance of the subordinate and is used as a reference during performance review meetings (Armstrong, 2015: 19). It includes agreements on what is expected from the employee in terms of results and competencies as well as abilities that will enable the employee to achieve objectives (Armstrong, 2015:19).

3.3.3 Performance and development plan

At this stage the manager and the subordinate have to agree on the skills and competencies required by the subordinate to achieve objectives and how these can be developed and the support that the manager can provide should be discussed at this stage (Armstrong & Baron, 2004:56).

This stage focuses on what could be done to achieve objectives and what key aspects the subordinate should pay attention to if objectives are to be achieved (Armstrong & Baron, 2004:56). If any coaching is required this is the where such issues are addressed. This is the stage where a personal development plan of the employee is prepared and signed and discussions should also centre on how this is going to be done (Armstrong & Baron, 2004:56).

3.3.4 Performing of tasks

The employee starts performing tasks to achieve set targets and the supervisor provides the support needed to improve performance. Goals of coaching include the following (Armstrong, 2006:49):

- improvement of performance and development of skills
- identification of individual performance gaps
- plan future career opportunities for the subordinate through dialogue and developing future required skills
- showing support to the subordinate by developing required skills leading to motivation of the supervisee
- building a sound working relationship with the subordinate

3.3.5 Monitoring and feedback

This stage involves continuous monitoring of the performance of the subordinate and providing constructive feedback. It involves regular monitoring of performance against plans and ensuring that where there is need to give feedback that is done (Armstrong, 2015: 23). Individual employees also monitor their progress towards set goals and where they need guidance they request the supervisor to guide them. The supervisor provides feedback and gives recognition where the subordinate has performed well rather than waiting for the formal review (Armstrong, 2015:23). Those who are underperforming are also coached timely so that their performance can improve (Armstrong, 2015:23).

3.3.6 Formal review

Regardless of performance management being a continuous process, there is need for a formal review of the performance of the employee at the agreed time. The meeting is between the supervisor and the supervisee. It provides an opportunity for the two parties to consider the overall picture of the review period and whether targets were achieved or not and if there were any challenges these are identified and development plans to overcome them are discussed (Armstrong, 2015:23).

The review provides an opportunity to make development and improvement plans. The review should not use the top down approach and should be free- flowing with both parties exchanging

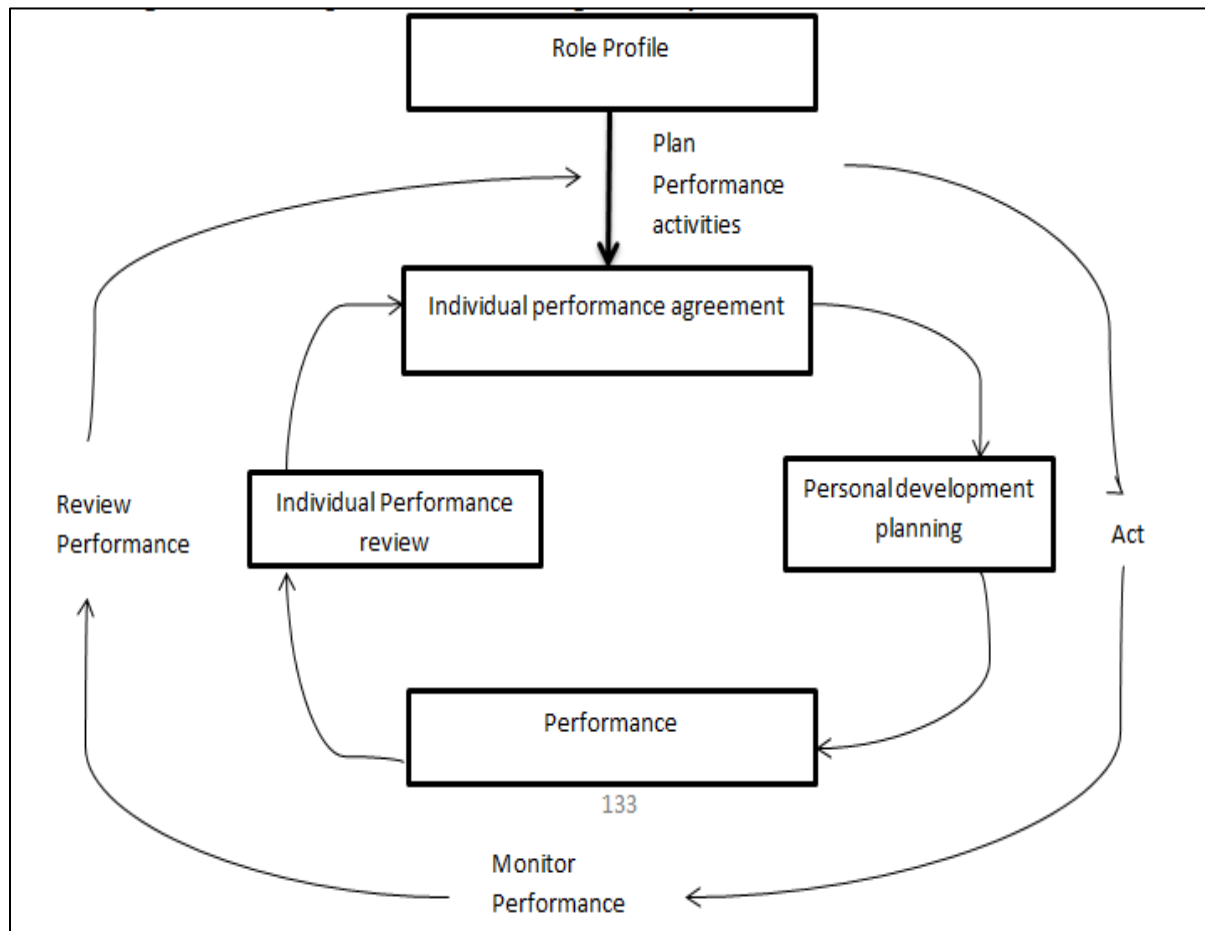
views in a purposeful conversation (Armstrong, 2003: 496). The review should be used as an opportunity to achieve the following (Armstrong, 2003:496):

- (a) Measurement- results from the performance of the subordinate are assessed against targets that were initially agreed.
- (b) Feedback- the supervisor should provide the subordinate with information on how one has performed.
- (c) Positive reinforcement- the supervisor should point out and praise the subordinate where performance was good and where there is need for improvement, suggestions should be made on how performance can be improved – the discussion should focus on improvement
- (d) Exchange of views- the discussion should be an exchange of views on achievements and what could be done to achieve more. The subordinate should also be open about what impressions they have about their work and what assistance they need in terms of guidance and coaching.
- (e) Agreement on action plans – the subordinate agrees on the plans to be implemented to improve performance and can request the supervisor to assist with guidance if necessary.

An effective and constructive review meeting should include the following guidelines (Armstrong, 2003: 499):

- encouraging the subordinate to contribute more than the supervisor during the meeting
- supervisor to attentively listen to the subordinate during the meeting
- allow time for parties to think and analyse what has been said
- supervisor to analyse the performance of the subordinate rather than the personality of the subordinate
- supervisor to recognize good performance to motivate subordinate
- meeting should end on a positive note with action plans for future improvement of performance.

Figure 3.1: The performance management cycle



Source: Armstrong, 2009: 62

There is a relationship between performance management and employee performance. The next section will focus on the relationship between them.

3.4 RELATIONSHIP BETWEEN PERFORMANCE MANAGEMENT AND EMPLOYEE PERFORMANCE

One of the greatest challenges facing managers in organisations is getting maximum performance from subordinates (James, 2003:9; Kirkpatrick, 2006:9; Rossi, 2012:11; Sanderson,

Harshak & Blain, 2009:5). The management of employees has shifted in its outlook and employees are no longer regarded as machines to be switched on and they perform. It is one of the tasks of managers to motivate employees so that they can perform. The success of managers to motivate subordinates can be measured in terms of time and energy the employees are prepared to spend performing given tasks (Rossi, 2012:11; Kirkpatrick, 2006:9). Employee performance falls under two categories namely elevated and standard performance (Sanderson et al., 2009: 5). Elevated performance is a result of extra employee effort as a result of one's commitment to the organisation and its mission. As a result of the motivation, employee performance has to improve.

Standard performance is the normal level of performance achieved as part of one's fulfilment of their duty. According to Sanderson, Harshak & Blain (2009:5) standard performance may be influenced by organisational hygiene factors whose absence may decrease productivity but whose presence may not necessarily increase productivity.

Managers would want a situation where employees deliver elevated performance so that productivity increases. Employees are not likely to be committed and deliver improved performance in the absence of basic hygiene factors (James, 2003:9; Rossi, 2012:11). These lay the foundation for organisational commitment. One of the factors that an organisation can consider to achieve elevated performance is the recognition of employee performance through the awarding of rewards (Kirkpatrick, 2006: 9).

Rewards could be financial or non – financial and they would instil a robust performance culture in an organisation (James, 2003:10; Samson & Daft, 2012:23). To make sure that rewards are fairly implemented, organisations have introduced systematic performance management programmes to enable them to manage employee performance and be able to identify performance gaps where they exist so that remedial action can be taken to assist employees (Vigaro, 2013:23; Dechev, 2010:12). Sanderson, Harshak & Blain (2009:5) note that alignment of compensation to performance has been observed to have an impact on performance.

3.5 THE IMPACT OF PERFORMANCE MANAGEMENT ON THE PERFORMANCE OF EMPLOYEES GLOBALLY

Performance management in the public sector has been implemented in many countries globally. Some countries have successfully implemented performance management in the public sector resulting in increased productivity and customer satisfaction. Countries that have success stories include Australia, Canada, Denmark and France. The other countries are Netherlands, New Zealand, Sweden and the United Kingdom (Ross, 2011: 9). These countries have used different models that address the needs of each one of them (Ross, 2011:9). The objectives of implementing project management in these countries include the need for improvement in the internal functioning of the public sector and continuous improvement in performance (Ross, 2011:10). The other objective for these countries is to improve efficiency through a deliberate effort to reform the public sector (Ross, 2011:10).

The countries use a management model that allows managers to manage rather than comply to set rules and regulations (Slavic & Berber, 2014: 46). The model empowers managers to take responsibility, provides them with operational freedom and also ensures that managers were accountable (Slavic & Berber, 2014:46). Responsibilities of managers include supporting cultural change, target setting, performance monitoring and evaluations (Slavic & Berber, 2014:46).

Some countries use incentives such as performance related – pay as a way of motivating employees to achieve set objectives. In the United Kingdom performance pay is linked to annual performance agreement (Ashford, 2013: 6). In Australia, incentives include recognition of a job well done, performance pay and staff awards for those who have achieved targets (Ashford, 2013: 6). In Finland the public sector has group productivity bonus system linked to performance (Ashford, 2013:7).

In the United Kingdom each ministry prepares a document with targets that should be met and these are reviewed quarterly (Ashford, 2013: 7). The annual report on the performance of a ministry goes through parliament to assess if targets were met and departments are held accountable for meeting set targets (Ashford, 2013:7).

In Canada business plans of different departments define responsibilities for departments. The business plans contain information on goals, performance targets and performance measures to assess results (Ashford, 2013:7). Denmark uses the contract management approach. Departments commit themselves to four year performance targets monitored on an annual basis (Ashford, 2013:7).

Australia and Finland use benchmarking for best practice as part of performance improvement (Huysentruyt, Stephan & Vujic, 2015: 14). Benchmarking can be done with other departments or private sector organisations. Denmark and Sweden publish national productivity statistics on outputs comparing the performance of individual local authorities on a range of measures (Huysentruyt, Stephan & Vujic, 2015: 14). The statistics are used as benchmarks rather than judging the performance of each local authority (Huysentruyt et al., 2015: 14). In Australia benchmarking also includes international comparisons (Huysentruyt et al., 2015: 15). Benchmarking is viewed as a way of learning from other organisations or departments to improve performance and looking beyond the borders of the organisation can assist an organisation to implement best practice (Huysentruyt et al., 2015: 15).

In 2007 Ghana conducted an evaluation of the effectiveness of performance management in its public sector. The evaluation recommended the introduction of rewards and a transparent assessment scheme as well as service delivery that is customer focused (Okeke–Uzodike & Chitakunye, 2014: 89). The other recommendations included investing heavily in capacity development, performance planning and measurement as well as the development of an effective communication strategy (Okeke – Uzodike & Chitakunye, 2014:89).

In Namibia performance management was introduced in 1990 and merit assessment was used as an instrument for evaluating the performance of juniors and efficiency rating was used to evaluate senior personnel (Ochurub, Bussin & Goosen, 2012: 2). In 1996 performance appraisal system replaced the earlier system but lack of supporting organisation culture and inadequate training led to the suspension of the programme (Ochurub et al., 2012: 2). In 2004 the government launched a new performance management system whose aim was to improve performance through monitoring and evaluating individual performance (Ochurub et al., 2012: 3). Senior managers in the public sector were trained and in turn they were to train their juniors in the public service. In 2007 a review was carried out and it revealed a number of challenges

including over – emphasis on training that tended to be more academic, implementation of interventions that overstretched available government resources and the use of a balanced score card method that was not carefully integrated into the performance management system (Ochurub et al., 2012:3). There was also a high turnover of staff who were the drivers of the process and developing a monitoring and evaluation tool that could be integrated into the system was also a challenge (Ochurub et al., 2012:3). There is an attempt in the public service in Namibia to address these challenges so that performance management can be successful.

The public service in Kenya implemented a number of reform initiatives since 1963. In 2003 the results based management was introduced with a new definition for public sector performance (Korir et al., 2015: 43). The new definition focused on outputs and outcomes. The focus on results was emphasised. Public institutions are held accountable for service delivery and departments are required to carry out annual surveys to determine customer satisfaction levels (Korir et al., 2015: 43).

There has been improvement in customer satisfaction on service delivery and there is improved transparency on the use of government resources (Korir et al., 2015: 43). There is also improved effectiveness and efficiency in project implementation accompanied by changed cultures and work ethics in government departments (Korir et al., 2015: 43). There are also various challenges that the country faces in implementing performance management.

Challenges include inadequate capacity to cascade reforms to all employee levels in the public sector and the absence of a legal framework to make sure that all public sector departments implement reforms (Korir et al., 2015: 44). Most of the challenges are associated with developing countries where performance management has not been as successful as in developed countries.

The public sector in many countries has been implementing one reform after the other for decades without seriously taking stock, assessing the impact and taking lessons from the experience (de Jong, 2016: 67; Gerrish, 2015:48). For example countries in Europe as well as America have introduced various models of performance management and one question that is rarely asked is whether performance management works and if it does what makes it work? There seems to be no ground-breaking study in this area to convince the sector that performance

management works and what is it that makes it work (de Jong, 2016:67). Only a few studies have been done to assess the impact of performance management on performance itself (Boyne, 2010: 23; Andrews, 2014:6; Gerrish, 2015: 48). The general belief is that performance management improves productivity in the public sector but there is not enough empirical evidence to support this claim (Poister, Pasha & Edwards, 2013: 625; de Jong, 2016: 67). Whenever performance management is implemented in the public sector, it is a universal expectation that it will enhance productivity and customer satisfaction and in most cases it is introduced because of challenges of low productivity. There is however some celebrated cases of successful performance management programmes such as Comp Stat in New York City and Citi Stat in Baltimore and a number of case studies have shown great potential in the use of performance information to improve productivity (Poister et al., 2013: 625).

For performance management to have an impact there is need for the formulation of clear goals regarding performance and outcomes (Poister et al., 2013:626). This can be done through strategic planning, monitoring outcomes systematically to generate information to be used by supervisors for decision making and programme management for the achievement of improved performance (Poister et al., 2013:626). It is also important to note that there are some public programmes whose outcomes are not easy to measure because of complexity or goal ambiguity. Some performance measures may not generate information as they lack validity and reliability and also because they are descriptive rather than prescriptive making it difficult to put a time line on when the task should be accomplished (Moynihan & Levartu, 2012: 594; Walker et al., 2011: 369; Funnell & Rodgers, 2011: 23).

Some studies have also indicated that setting targets can have a negative impact on organisational effectiveness (Andrews, 2014:7). Certain arguments have indicated that performance system values are misguided (Gerrish, 2015:48), poorly implemented or used for political gains (Lavertu & Moynihan, 2012:532) and that they do not substantially improve performance in the public sector (Gerrish, 2014:48; Hvidman & Andersen, 2014:41). Performance system values are also said to induce behaviours that increase measured performance without necessarily improving performance (Heinrich & Marschke, 2010: 187). Among other questions about performance management, the most important one is whether it is associated with performance improvement in the public sector. It would seem like the answer to

this question varies from country to country because experiences have been different especially between developing and developed countries.

3.6 IMPACT OF PERFORMANCE MANAGEMENT IN THE UNITED KINGDOM

A few countries are known to have done well in the implementation of effective performance management systems and they include the United Kingdom (Sisa et al., 2015: 174). In 1991 the United Kingdom introduced the performance appraisal system for teachers (Bartlett, 2000:25). The Education Act No. 1511 of 1991 regulated teacher appraisal in public schools (Bartlett, 2000:25). The aim of appraising teachers was to assist them in their professional development and career planning. The appraisal of performance was also linked to pay (Bartlett, 2000:26).

The implementation of performance management in the United Kingdom seems to have improved performance (Andrews, 2014:6). As a result of the introduction of performance management, the Public Service Agreements (PSA) was introduced outlining the objectives of a department on the service to be delivered based on the agreement between the department and the prime minister's delivery unit (Boyne, 2010:17). PSAs have set out targets to be achieved in a period of three years (Boyne, 2010:17). The introduction of target – setting at the policy field level resulted in improved performance (Andrews, 2014: 6). School examination results of local education authorities in England show that the presence of targets resulted in improved service (Andrews, 2014:6). The introduction of targets is attributed to shorter waiting time for patients in the English National Health Service (Andrews & Van de Walle, 2013:769). The other observation is that local governments that have developed contracts for improving social outcomes have communities that are more cohesive than those that do not have (Andrews, 2014:7). A number of studies have also revealed that strong performance management systems have resulted in higher levels of effectiveness in the local authorities (Andrews, 2014:7).

Walker et al. (2011:369) conducted a study on 101 English local authorities and the results of the study revealed that formal strategic planning had a positive impact on performance but only when previous performance was not part of the model. In another study to find out the perceptions on the extent to which performance had improved as a result of best value planning on Welsh local authorities, more than 1000 local government and elected officials were interviewed and the results showed that setting targets and the number of targets were associated with perceptions of lower performance (Poister et al., 2013:627). The findings show that setting

of targets and monitoring performance to see if targets were being met was negatively associated with perceived performance. There are suggestions that the negative perceptions could have been a result of target setting creating ceiling effects or ambiguous goals generated by setting many goals (Boyne & Chen, 2007:459).

Boyne & Chen (2007:456) conducted a study on 147 local English education authorities and the results showed that examination scores of learners increased as the number of targets set by local authorities increased. The study also revealed increased scores in subjects that were targeted by the local authorities and when a subject was added to the targets, the scores increased suggesting that if more subjects were to be added, the scores might improve.

In a study by Walker et al. (2011:369) in 17 English local authorities involving service provision with factors such as understanding organisational mission, goals and targets, the results revealed that performance management had a positive effect on performance. This shows that studies that have been conducted on the impact of performance management in the United Kingdom have had mixed results. Therefore the question on the effectiveness of performance management to actually improve performance is still debatable and is still an issue (Poister et al., 2013:628).

When performance management was introduced in the United Kingdom there was concern about the ability of appraisers to be objective (Gentle, 2001:23). One of the arguments put forward was that school heads would have problems of appraising teachers in subjects that they were not experts in and this was made worse by the fact that performance was linked to pay (Gentle, 2001:23). The issue of linking performance to pay did not go down well with some school heads who felt that the scheme demotivated and divided teachers (Brown, 2005:477). However a few school heads perceived that linking pay with performance would afford them the chance to reward teachers who were high performers (Brown, 2000:477). They argued that if the ratings were done objectively, teachers would welcome the reform. It would seem as though the introduction of performance management in the United Kingdom has both success stories and challenges.

3.7 IMPACT OF PERFORMANCE MANAGEMENT IN THE UNITED STATES OF AMERICA

Performance management in education was implemented in the 1980s as government policy. In 2002 the No Child Left Behind Act (NCLB) was a shift by the government to make components of educational performance management into law (Saultz & Saultz, 2017: 72). States were required by law to establish state-wide standards where learners from grade 3 to 8 were to be tested in reading and mathematics and the scores were to be reported to the public. The United States Department of Education set annual goals for academic progress of learners and any school that failed to achieve the set goals for 3 consecutive years had to notify parents of alternative options to be taken (Saultz & Saultz, 2017: 72). If a school failed to achieve set goals for 5 straight years, the law required it to restructure itself as a charter school, replace the teachers or close (Saultz & Saultz, 2017: 72). By reporting to the public, the NCLB hoped that parents would put pressure on schools to perform.

Data on the performance of schools was collected by NCLB and made public thereby introducing accountability at school level. Later accountability shifted the focus from school level to the individual teacher. Policy on educational reform now focused on teacher evaluation. The idea was to isolate the impact that the individual teacher had on learner performance (Saultz & Saultz, 2017: 72). The model uses value-added modelling (VAM) to assess the impact of a teacher in enhancing student learning. The assumption of the model is that standardised tests are an effective way of measuring the performance of a teacher (Saultz & Saultz, 2017:72). The scores of learners are recorded and any improvement from the previous score is attributed to the effectiveness of the teacher and the new score is used to determine the teacher value – added score (Saultz & Saultz, 2017:72).

The use of VAM has shifted accountability from the school to the individual teacher. It has also shifted the goal from a minimum level of proficiency to a system that assesses growth in learning for each student (Saultz & Saultz, 2017:72). The effectiveness of a teacher is determined by the performance of all the learners in a class and it encourages the teacher to focus on all learners.

The question to be asked is how these performance management reforms have impacted on teachers, schools and the perceptions of the population on public education? One of the results of this initiative is that the public has more detailed information on schools, teachers and the

performance of learners (Harris, 2011: 22; Saultz & Saultz, 2017:73). The introduction of VAM has led to individual teaching where teachers are only concerned about the performance of their class and might not be interested in helping students from other classes or other teachers. Some scholars have been linked to the cheating that has taken place in certain states to the use of performance management because of the pressures that teachers face in the improvement of learner performance (Saultz, Aronson & Murphy, 2016: 23; Taylor & Tyler, 2012: 7; Saultz & Saultz, 2017:73).

Performance management has also led to the narrowing of the curriculum with schools affording more time to the reading and mathematics because teachers and schools are evaluated on these subjects (Jacobsen & Saultz, 2016: 477; Saultz & Saultz, 2017:73). The system has created a situation where all public schools have the same goals which are the improvement of mathematics and reading. Research shows that the public has varied preferences on what public education should accomplish including academic rigor, arts and citizenship (Saultz & Saultz, 2017: 73). The publication of teacher performance has resulted in a situation where both learners and parents have access to the effectiveness of a teacher and this has put a lot of pressure on teachers. Information on teacher performance is no longer confidential. This has created an impact on the relationship between teachers, learners and parents as well the perception of the teaching profession and public schools by the public (Jacobsen, Snyder & Saultz, 2015: 831; Saultz & Saultz, 2017:72). Teacher evaluation has also resulted in a decline of teacher collaboration and increased teacher isolation and teachers are less interested to work at schools that have big numbers of high – need learners.

3.8 IMPACT OF PERFORMANCE MANAGEMENT IN MALAYSIA

In 2009 the Malaysian public sector introduced the Government Transformation Programme with seven key result areas that have measurable service delivery targets (Xavier, 2013:67). The emphasis on performance management in Malaysia has been on effective implementation, monitoring and reporting with a lot of pressure on departments to perform (Iyer, 2011:7). The performance of each ministry is evaluated against key performance indicators (KPIs). A merit pay system was also introduced to motivate employees to improve performance (Siddique, 2014:277). The following table compares the progress that has been made in the Malaysian public sector:

Table 3.1: Targets

National Key Result Area	2012 Targets	2015 Targets
Crime	5% reduction in overall index crime	5% reduction of crime annually
Street Crime	45% reduction of street crime	85% of population satisfied with police service
Corruption	Global corruption barometer survey score 52%	Global corruption barometer survey score 70%
Rural development	98.6% rural population living within 5 km of paved road	Building and upgrading 6339 km roads across Malaysia
Water	90% of population has access to clean water	95 – 99% of population has access to clean/treated water
Electricity	88.7 of population with 24 h electricity	95 – 99% population with 24 h electricity
Urban public transport	55% passenger satisfaction	75% of population residing within 400 m of urban transport pick up points

Source: Siddique, 2014: 277

Siddique (2014:281) argues that the performance of the public sector in Malaysia has exceeded set targets in most cases. Some of the highlights include a 39.7% drop in street crime resulting from the visibility of the police; a 5% increase in pre-school enrolment; 3100 poor rural women receiving entrepreneurship training; 4.3 million rural people had access to clean water supply, electricity and paved roads (Siddique, 2014: 280). McCourt (2012: 2331) says there is evidence of improved service delivery in areas such as urban transport with timely frequent bus and light rail transit services. Notable improvements are tangible with improved efficiency and better performance of government departments and local authorities with processes that used to take twelve months reduced to three months (McCourt, 2012:2334). Out – patient state clinics are now able to open every day of the week for the first time in the history of the health sector in Malaysia (McCourt, 2012:2334).

It should however be noted that the Government Transformation Programme has had its problems and detractors. It should not be regarded as novel but an extension of other

performance management initiatives that have been introduced in Malaysia before (Siddique, 2014: 281). The advantage that it has had over previous programmes is its emphasis on a systematic approach to implementation, monitoring and evaluation that are done frequently (Siddique, 2014:281; McCourt, 2012: 2335). While the impact of the performance management initiatives have received a lot of praise from the media, some citizens have questioned several aspects of the Government Transformation Programme and the accuracy of reporting from the media since the media is owned by the elite who are part of the ruling coalition (Iyer, 2011:7). The results that are claimed to have been achieved have come under scrutiny with some citizens doubting their accuracy (Siddique, 2014: 282; Iyer, 2011: 8). There has been a criticism of setting KPIs that are easily measurable and targets that are easy to achieve (Iyer, 2011:8). Most of the data on achievements originates from the ministries and the possibility of error, bias and tampering cannot be ruled out (Iyer, 2011:9). For example the success in the reduction of crime seems not to match the increasing crime rate in the streets where there is an increase in crimes such as rape, kidnapping and robbery (Iyer, 2011:9; Sen, 2012:2; Xavier, 2013:72; O'Shannassy, 2013:445; Beh, 2011: 177).

3.9 IMPACT OF PERFORMANCE MANAGEMENT IN KENYA

One of the common challenges in the public sector in Africa is weak performance in service delivery. In many instances the poor service delivery is associated with political, social and environmental factors (Okeke-Uzidike & Chitakunye, 2014: 85). For the past three decades African countries have been trying to reform their public sectors so that there is efficiency, effectiveness, accountability and transparency as part of improving service delivery (Okeke-Uzidike & Chitakunye, 2014: 87).

In Africa the tendency is to introduce performance management systems that are not sophisticated because of lack of expertise and the continent depends on copying tools and systems from the developed world (Muriu, 2014:9). Some of the systems may not be suitable for local conditions and this raises the question of whether systems such as performance management techniques from the developed world are best suited for developing countries (Muriu, 2014:9). The argument is that it is better to invest the limited resources in a technique that has worked elsewhere rather than trying something that has not had implementation success somewhere (Muriu, 2014:9). Poor management practices and bureaucratic inefficiencies as well

as low productivity and poor service delivery exert pressure on the public service to adopt speedy, ready – to – implement techniques (Muriu, 2014:9)..

Kenya introduced public sector reforms in 1993. Previous attempts at reforming the public sector had failed because of lack of political will (Korir et al., 2015: 43). The issue of service delivery was also missing from the previous attempts (Cheche & Muathe, 2014: 65). The current aim in Kenya is to implement reforms that would result in an efficient, effective and ethical service delivery (Cheche & Muathe, 2014: 65; Korir et al., 2015:43).

The reforms were implemented in three phases with the first phase aimed at early retirement for civil servants as a cost reduction measure (Nzuve & Njeru, 2013: 60). Certain posts were identified as not required and employees were requested to retire early. It resulted in a 30 % reduction of the civil service but productivity did not improve (Cheche & Muathe, 2014: 65). The second phase focused on the rationalization of government departments to determine the structure and size of the civil service (Nzuve & Njeru, 2013:60). By the year 2000 a total of 23 448 civil servants were retrenched (Cheche & Muathe, 2014: 65). The third phase was implemented in 2004 and was focused on performance improvement and management of the civil service (Nzuve & Njeru, 2013:60).

Although it is still early to realise the impact of the third phase, it should be noted that there has been considerable improvement in profit generation by state owned enterprises (Muriu, 2014:49; Korir et al., 2015: 50). Significant improvements have been observed in service delivery notably by the ministries of immigration and registration of persons, agriculture, provincial administration and internal security, health, finance and water (Muriu, 2014: 49). Notable improvements have also been noted in operations and services by Nairobi City Council, Kisumu and Nakuru municipalities (Cheche & Muathe, 2014:65; Awino & Saoli, 2014: 153). Other state corporations where improvement has been realised include Kenya Power and Lighting Company Limited, National Oil Corporation of Kenya and Kenya Ports (Cheche & Muathe, 2014:65; Korir et al., 2015: 50; Kasyoki & George, 2013:92). Reforms have also resulted in increased performance of the public service through the implementation of service charters as well as customer satisfaction surveys, improved transparency and accountability in the use and management of public resources as well as increased efficiency and effectiveness in the implementation of projects (Korir et al., 2015: 50). There has been a notable change of culture

and work ethics in the public sector and this has also resulted in restored dignity of public sector employees (Korir et al., 2015: 50).

3.10 RESEARCH METHODS

3.10.1 Data collection

This study used the qualitative method of data collection. Patton (2002:14) argues that a qualitative method assists the researcher to approach fieldwork without any predetermined view leading to openness and depth of enquiry. It also allows the researcher to interact and gather data directly from the participants in order to understand a phenomenon from the perspectives of the participants (Patton, 2002:14).

Data from interviews were the primary source of the study (Rapley, 2004:19). Other sources of the study included research findings on performance management implementation in the public sector in Botswana (Dzimbiri, 2008; Mothusi, 2008; Mpabanga, 2016). Participants in this study were composed of 80 officers from the two ministries with 40 from each ministry. There was a focus group from each ministry which was composed of five officers.

3.10.2 Data analysis

During the interviews each officer responded to ten questions and their responses were audio – taped and then analysed using the NVivo software package. During the interviews, the researcher was able to probe and ask follow–up questions for further clarifications on the responses of the participants as pointed by Patton (2002:35). This was done carefully to avoid any bias as suggested by Rapley (2004:19).

The officials of the two ministries were responsible for introducing, monitoring and conducting workshops on the implementation of performance management. The nature of their jobs enabled them to get feedback from implementers of performance management when they visited different regions of the country. They also got reports from different regions on the progress of the implementation exercise in the different regions. During workshops they got feedback from supervisors on issues concerning performance management.

3. 11 RESULTS AND DISCUSSION

3.11.1 Impact of PMS on employee perceptions in the two ministries

On the perceptions of performance management, respondents from the two ministries indicated that there was a general negative perception on performance management. Performance management was viewed as a waste of time and employees were of the view that a lot of time is spent completing forms that were difficult to understand. The view of employees was that the time taken to complete the forms could be used productively on core activities of the organisation. Participants revealed that some employees in the two ministries did not even like the concept “performance management” because they associated it with paper work. A participant from the education ministry had this to say on time spent completing forms:

The negative perception on performance management among both school managers and teachers is worsened by the amount of time they spend completing PDPs. They complain that paperwork takes most of their time hence the high failure rate in schools.

The completion of performance development plans and review document (PDPs) was perceived as additional work which is not part of their daily duties. Such a perception negatively affected implementation. A participant from the local government ministry had this to say on PDPs:

When we go to districts the complaints we get about PDPs is that completing them is a challenge and when one gets stuck, it is difficult to get assistance from colleagues because most employees are not sure of how the forms should be completed and the forms are also in English which makes it more challenging.

The rate of implementation failure in change initiatives such as performance management in the last decade in developing countries in Africa and Asia is estimated to be around 70 % with Africa having the highest figures of failure rate (Hacker & Washington, 2004:52; Washington & Hacker, 2005:401). De Waal and Counet (2009:367) conducted a study and concluded that there had been a decrease in the failure rate from 70% to 56%. However Hope and Player (2012:1) in their study found that the failure rate of the implementation of performance management in Africa was still at 70%. Results of these studies paint a disappointing picture in the implementation of performance management and how it is managed. Negative perceptions contribute to the high failure rate. Botswana, Namibia and South Africa are said to fair better in

the failure rate (Commonwealth Secretariat, 2010:92). Participants of the study perceived the implementation of performance management as a failure because of the negative perceptions that employees had on the reform. A participant from the ministry of education had this to say on the success of implementation of performance management:

It is a total failure. Other managers have told us that employees do not want to hear the phrase “performance management” and this has made managers feel uncomfortable to talk about the issue because it is an unpopular subject.

Participants of the study revealed that the feedback they get from support staff of the two ministries is that the performance development plans (PDPs) do not help them in any way. They keep completing the PDPs but do not get promoted or have their salaries increased and they do not understand the purpose of the forms other than a work burden which should be done. Only a few officers were rewarded once a year during the day when excellent performance was recognised. The criteria for choosing the best employee of a department had also been questioned by employees. One participant from the education ministry revealed that she was told by participants at a workshop to go and tell top officials in the ministry that until government kept its promise of rewarding good performance, implementation was going to fail. The participant also revealed that it was difficult for her to justify to the employees why government had not kept its initial promise of rewarding good performance. The participant had this to say:

The teachers become angry when they talk about performance management promises that were made by government at its inception and this makes officials from headquarters reluctant to visit districts.

The study revealed that some employees in the two ministries do not like the concept “performance management” because they associate it with paper work. Dzimbiri (2008:53) argues that successful implementation of performance management is determined by the support that the programme gets from the implementers. According to the findings of this study, the programme had not been embraced by the implementers and successful implementation can be a challenge in such situations. One of the participants of the study had this to say:

Most officers in departments feel that this initiative was imposed on them without any consultation and instead of improving performance it has made many people miserable at their work stations because of the amount of paper work involved.

The participants in the two ministries revealed that they had not received half of the first quarter reviews of the performance of employees in the departments and yet it was now the middle of the year when they were supposed to receive the second reviews. They assumed that this could mean that some employees had not had their first quarterly reviews at a time when they should be having their second reviews. Some supervisors whose performance was not reviewed by their superiors also took it on to their subordinates by not reviewing their performance resulting in employee performance not being reviewed for certain review periods. This, the participants in the study said summed up the perception about performance management in the two largest ministries in Botswana. The two ministries were the largest in the country and it was difficult to find out which employees had their performance not reviewed during a particular review period because of large numbers and an ineffective record management system.

The participants were of the opinion that some of the negativity resulted from lack of understanding of performance management. The performance improvement coordinators in the education ministry got feedback from schools indicating that performance management activities such as the completion of PDPs took a lot of time away from the core activities of teachers and the improvement of results was not determined by the completion of forms but by actual teaching. Performance development plans are a schedule of activities that public service employees are supposed to have at the beginning of the year (DPSM, 2004:8). They provide the supervisor with information on what the employee is to achieve in a given year and they set standards of performance that will be used as a reference point during reviews (DPSM, 2004:8). Both parties sign the performance development plan form and it establishes work objectives of the employee (DPSM, 2004:8). Armstrong (2015:19) points that performance agreements are a key component of performance management because they are the reference point for planning and reviewing performance and they contain performance expectations and can be used to develop performance and abilities of the employee. The role profile of an individual employee should include the following (Armstrong, 2015:21):

- An outline of the overall role of the individual employee
- An explanation of how the role contributes to the achievement of organisational goals
- Identification of key result areas to be achieved by the employee
- Success criteria to be used to indicate achievement of key result areas
- The link between individual key result areas and organisational key result areas
- Knowledge that the individual should have to perform the role
- Skills required by the employee to perform the role
- Behavioural competencies required for the individual to perform the role

The feedback that participants of the study got is that performance management was not for teachers hence the negative perception. Koruyezu (2010:50) carried out a study on the impact of PMS at a junior secondary school in Botswana and found that teachers and the school head had little knowledge about performance management and the implementation of the balanced score card. The study also revealed that there was general ignorance on the use of PDPs and the implementation of performance management. A participant from the education ministry had this to say:

When we conduct workshops teachers ask us if performance management is going to improve results considering the time spent on its activities or actual teaching is what is going to improve results. It would look like it is difficult to convince them because their minds are made up that these activities consume teaching time.

Sisa et al. (2015:185) argue that document analysis reveals that there was poor formulation and implementation of the following in the first generation of the implementation of performance management in Botswana: vision, mission and strategic plans; performance plans and agreements as well as performance development plans. This was as a result of poor strategic planning and lack of strategy skills; lack of alignment between individual and departmental objectives; the challenges of using the cascading model to inform junior staff as well as the exclusion of certain stakeholders from the initial stages (Nyamunga, 2006:7; Washington & Hacker, 2009:15). The implementation of performance management in the public service in Botswana faced challenges right from the beginning.

The participants felt that there was a need to change the mind set of employees in both ministries because of the importance of performance management in improving performance. Mothusi (2008:21) maintains that one of the goals of performance management in the public sector in Botswana is to try and change the mind-set of senior government officials and their subordinates to ensure that they perform their responsibilities diligently. During a focus group discussion some participants who were former teachers and now worked at headquarters in the local government ministry revealed that they also had a negative attitude when they were teaching but were now fully behind the success of implementation of performance management because they now understood its purpose. Lack of understanding was perceived as the reason why some employees were resisting the reform. Lack of training on performance management was blamed for lack of understanding of the innovation. One participant from the ministry of education had this to say:

At workshops teachers ask us to give an example of an innovation that has been implemented successfully in Botswana and we sometimes find it difficult to give them success stories. It weakens our case for performance management.

During the focus group discussion in the local government ministry, an official had got feedback at a workshop that the negative perception was a result of performance management having been imported from developed countries and was therefore suitable for those countries rather than a developing country. The perception was that the public sector was always importing ideas from other countries instead of coming up with home grown solutions that would consider local conditions. Wairimu (2015:23) maintains that it is important for employees to understand why the organisation is implementing performance management and what will be achieved through its implementation. Dzimbiri (2008:53) argues that the entrenched paradigms, employee mind-sets as well as work ethics coupled with lack of understanding and general resistance to change made employees reluctant to implement performance management in the public service in Botswana. Although the introduction of performance management in the public sector in Botswana was aimed at improving service delivery, school performance in public secondary schools as reflected by public examination results has continued to decline (Boipono, Goitseone & Mogadime, 2014: 190). Boipono et al. (2014: 190) concluded that the lack of improvement in

performance could be a result of the absence of timely feedback and effective communication to help teachers make improvements so that they achieve set targets.

The implementation of performance management in the public sector in Botswana is likely not to produce expected results unless employees change their perceptions toward the reform. Armstrong (2009:30) stated that the implementation of performance management is influenced by a number of factors including structures, processes and resources that ensure achievement of goals as well as behavioural factors such as the culture of the organisation and the behaviour of employees. Radnor and McGuire (2004:249) and Mwita (2000: 25) recommended that if the public sector wants implementation to succeed there was need to embrace behavioural change of employees rather than paying attention the operational levels only. The public sector in Botswana needs to embark on a behavioural change campaign so that employees change their perceptions on performance management. Bromwich (1990:15) argues that performance is affected by behaviour as well as results because behaviour comes from the performer implying that behaviours, results and impact should not be separated since they are interdependent. There is therefore need for the public sector in Botswana to deal with the issue of changing the perceptions of employees so that their behaviours toward performance management may change.

Employee involvement is important for a reform to succeed and the public sector officials should try and create a spirit of cooperation if implementation is to succeed. The success of implementation depends on the motivation and skills of employees (Potocki & Brocato, 1995: 404). Employee involvement should align human resource development with the strategic plans and change processes of the organisation and empower the employees as this would lead to employee – manager partnerships so that there is commitment from both sides (Potocki & Brocato, 1995:404).

3.11.2 Impact of performance management on employee performance

On how performance management impacts on the performance of employees, participants revealed that the measurement of what the employees had done during the review period impacts on their performance. The impact is therefore on measurement. The work that an individual does should be geared towards the achievement of the overall goal. Employees had to show what they had done in a given specific period of time and that impacts on their performance so that they are not found wanting in terms of performance. The participants were not sure if employees were

conscious of the impact that performance management had on their performance because some officers in the two ministries perceived performance management as a ministry requirement which had to be done rather than have a positive impact on their performance. A participant from the local government ministry had this to say:

During workshops it is a challenge for me to convince employees how the implementation of performance management is going to positively impact on their work because I am not a specialist in the area. I got this job not because I am knowledgeable in the area and at times I feel I have to do what I have to do.

The participants were of the view that performance management made employees to be accountable and assists them to perform according to what they had planned. They said that it made employees to be focused on their plans resulting in positive outcomes. Employees become aware that at an agreed time, their performance will be reviewed and that made them to perform so that they would have positive reviews. Performance management motivated employees to perform. The participants revealed that if performance management was effectively implemented, during reviews employees would become aware of their strengths and weaknesses and where coaching was required, a recommendation to that effect would be made. On whether employees of the two ministries felt accountable for their performance, participants of the study revealed that some employees felt they were accountable for their performance while others would blame lack of motivation and shortage of resources as reasons for not achieving objectives. Low salaries in the public sector were perceived as a reason for lack of accountability and the perception among employees was that they should be accountable for what is equal to the low salaries they were getting. One participant had this to say:

Batswana are generally proud people and would not appreciate if someone told them that their performance was below expectations. If they had a positive perception on performance management its implementation would have a positive impact. The challenge is that they do not like the innovation and its impact does not matter to most employees in the department.

Armstrong (2009:67) says that the review should be rooted in the reality of the employee's performance and is not abstract but concrete. It is an opportunity for the two individuals to positively discuss how performance can be improved in future and how challenges in achieving

set goals can be resolved (Armstrong, 2009:67). Armstrong (2009:67) argues that the true purpose of performance management is to make suggestions on what should be done to meet new challenges, develop capabilities and agree on what should be done to improve performance. If monitoring had been going on throughout, the review session should have no new surprises because of the dialogue that had been taking place during the monitoring of activities. New surprises can arise where there was no continuous monitoring and the manager was waiting for the formal review meeting. The reviewing process also assists manager to improve their skills in guiding and leading (Armstrong, 2009:68).

The participants were of the view that not much was done by managers to convince employees that implementation of performance management resulted in performance improvement. One participant from the education ministry had this to say:

Some employees say that review meetings are an activity for only showing the employee their ratings and nothing more. The activity may take a few minutes and the next employee is called in by the manager to view their ratings.

The challenge could be lack of training for managers and they may not be sure what to discuss with the employee. This undermines the real purpose of a review meeting and the employee may not value the process if it is meant for viewing their ratings with very little said by the manager. Managers should understand the purpose of a review meeting and make it worthwhile for the employees so that they can value it.

Literature suggests that organisations implement performance management as a tool for improving individual and organisational performance. The objectives should be to improve productivity, quality of service, cost and operational efficiency, customer service as well as achieving value for money (Pollitt, 2001:11; Ammons , 2002: 344; Hope, 2002: 534; Brown, 2005: 471; Kiragu & Mutahaba, 2006:7). Performance management should be able to do the following in the public service in Botswana like anywhere else where it is introduced and is effective : the creation of a culture of performance; improvement of individual and departmental performance; appraisal of employee performance; efficiency in the management of resources; assessment of employee performance based on set objectives and motivating employees and increasing their commitment to their departments (Nankervis & Compton, 2006: 87; Bouckaert

& Peters, 2002: 359). Performance management if effectively implemented should therefore have a positive impact on the performance of employees.

The participants from the education ministry revealed that there had been very little if any improvement as a result of the implementation of performance management. The participants singled out the critical role that the teachers' union should play in encouraging teachers to embrace performance management. One participant had this to say:

Maybe during workshops we should invite the teachers' trade union and give the leaders time to try and persuade teachers to embrace performance management. Teachers seem to listen to the trade union better than to us.

Performance management also provides information for enabling evidence based management and informed decision making on the performance of an individual (Ammons, 2002: 344; Mayne, 2007: 92; Dormer & Gill, 2010:45). Performance management can be used by organisations for a variety of purposes such as increasing salaries of performing employees, promotions and demotions, employment terminations as well as retentions (Brudan 2009:7). It can also provide opportunities for managers to support; guide or coach subordinates to change their behaviour so that they improve their performance (de Waal, 2003:688; Nankervis & Compton, 2006:87). Performance management promotes performance, setting of objectives, monitoring of performance, evaluation and reporting of performance as well as fostering accountability for one's performance (Washington & Hacker, 2009: 1; Kiragu & Mutahaba, 2006:7; Henderson & Hacker, 2002:1). Performance management should have a huge impact on performance if it was effectively implemented and supported by the employees.

The participants of the study were of the view that most of the negativity could be a result of lack of understanding of performance management. The participants revealed that most of the employees had not attended workshops and it was a challenge for them to understand the philosophy behind performance management. A participant from the local government ministry had this to say:

Most of the employees in the departments depend on the cascading approach to get information on performance management and the information was not enough for them to get a comprehensive understanding of performance management. This is why we have these

challenges in the ministry. The lack of a model department that we could use as an example is also another challenge.

The impact of performance management should be to enhance organisational performance through the creation of a performance culture resulting in high performance becoming a way of organisational life (Armstrong, 2009:210). The impact should be improvement of individual and at times team performance (Armstrong, 2009:210). The development of individual performance comes from defining what good performance is; agreeing on performance goals; identifying where there is need for performance to be improved; making decisions on steps to be taken to improve performance through performance improvement plans and coaching (Armstrong, 2009:210). Johns et al., (1995: 11) say performance management should make the following impact in an organisation:

- Communicate a shared vision in the organisation and assist to establish and support suitable management and leadership styles.
- Identify employee requirement and expectations regarding inputs and outputs expected from each one of them as a way of enhancing clarity.
- Provide an environment that enables teams to improve performance and accomplish objectives.
- Provide an enabling environment that supports reward and communicate how individuals as well as the organisation can enhance performance
- Accomplish enhanced performance
- Assist individuals to manage ambiguity

The public sector management in Botswana should attempt to address challenges related to the implementation of performance management so that there can be a positive impact of performance management. It is through collaboration between management and employees in areas such as goal setting, feedback, analysis of performance and coaching which can result in continuous improvement of performance because this is what performance management is about (Armstrong, 2009:211).

Performance management also promotes communication between managers and subordinates on performance issues, progress towards the achievement of set goals and challenges that the employee may encounter during the performance of tasks (Rees & Porter, 2004:32). The communication between the manager and the subordinate may also have the impact of increasing motivation and therefore performance of the subordinate as well as commitment to the organisation (O'Donnell, 2005:618). If effectively implemented it should result in continuous improvement and enabling an organisation and employees to develop a learning culture geared towards the improvement of performance.

The performance management system also helps organisations to deal with legal or risks associated with litigation issues through the use of reliable and valid tools of measuring the performance of employees; reviewing the strengths and weaknesses of the performance of employees; taking action to improve the performance of employees whose performance is unsatisfactory; making informed decisions on promotions, demotions, pay increase as well as transfers (Mani, 2002:142; Glendinning, 2002:166). Participants of the study were of the view that performance management had so far had very little impact on the performance of employees. One of the participants in the local government ministry had this to say:

It is just not working. One is tempted to think that perhaps a new innovation should be introduced in government departments. Maybe government should employ more officers to try and oversee implementation.

If implemented effectively, performance management can have a huge impact in improvement of performance and other issues that are related to the performance of employees. The challenge is to find out where things are not working out so that these issues could be addressed. If performance management has worked in other countries, the assumption is that it can work in Botswana. Perceptions need to be changed so that public sector employees develop a belief that performance improvement is possible through performance management.

However it should be noted that the implementation of performance management will not automatically result in performance improvement of individuals and the organisation. The success of performance management may be based on the following propositions (Armstrong, 2009:212):

- that the implementation of performance management can have a direct impact on factors such as engagement, motivation, commitment and skill
- the factors would have an effect on organisation performance in the areas of productivity, quality and delivery of service that satisfies customers

There are various factors that affect employee performance. Armstrong (2009:32) identifies the following factors as affecting employee performance:

- the right level of competence, motivation and support as well as incentives
- colleagues who should exercise a strong positive or negative influence on the employee's attitudes, behaviour as well as performance
- the employee's manager who should be a role model and provide support, coaching and stimulate the employee to perform
- the organisation by removing barriers to performance
- organisational culture which supports performance
- organisational structure which is flexible and supports involvement
- availability of technology to perform tasks

Motivation seems to be a challenge in the public sector in Botswana and management needs to find ways to motivate employees so that productivity can improve. If employees are not motivated, engagement and commitment will remain a challenge for the foreseeable future in the Botswana public service. The implementation of performance management may not be able to impact the public service positively. However, there is still a possibility that if the challenges affecting the public sector are resolved, the implementation of performance management may result in improved performance.

The participants of the study were of the view that performance management had a positive impact on performance in that its implementation should ideally lead to increased performance because employees had set targets that should be achieved at a particular time. The issue of accountability should motivate employees to be responsible and work towards the attainment of objectives. There seemed to be a strong perception among the participants of the study that if implemented effectively performance management led to performance improvement because of the targets that an individual has to achieve in a given time frame. This indicates that from the perspective of the participants the implementation of performance management does affect

performance positively because of the set targets and accountability. However, there was need for implementation to be done effectively to ensure positive impact.

3.11.3 Impact of performance management implementation on performance improvement

On whether performance management actually improves performance, participants were of the view that the whole idea is to manage one's performance. It improves performance because every employee has to account for what they did during the review meetings. A participant from the local government ministry had this to say:

Performance management assists employees to grow in their careers as a result of performance review meetings which should be effective and from what I have observed, it does make a difference.

The participants from the ministry of education were of the view that in schools performance management is supposed to improve results as it motivates teachers to improve their performance. The fact that employees were aware that their performance would be reviewed at a particular time should motivate them to perform. Monitoring of employee performance assists to identify performance gaps and these are addressed either through coaching or employees sent for training. The participants of the study from the ministry of education doubted the effectiveness of review meetings because of the negative perceptions that school management teams had on performance management. A participant from the ministry had this to say:

Some school managers tell us that teachers should spend most of their time with learners rather than with them. Teaching was about delivering lessons rather than robbing learners of their teaching and learning time because the teacher is with the manager.

The participants revealed that what made employees to improve their performance was the issue of deadlines. Employees refer to the performance plan from time to time to see if they are on track and this had a positive effect on their performance. Participants however stressed the need for supervisors to respect review dates so that subordinates do not take performance management as a reform that is not effectively managed. The participants also stressed the need to recognise good performance as this motivates employees especially if they were to be rewarded for good performance. A participant from the ministry of education had this to say regarding review meetings:

From the experience I had when I was a teacher, the school manager would not have time for reviews and would then hurriedly call me to the office on a certain date and show me my ratings and tell me to go for my next lesson. Nothing concerning my weaknesses was ever discussed and eventually it became a common practice at the school that there were no review meetings.

During focus group discussions, some participants revealed that in the ministry of education, performance management had not yielded the expected results hence the poor results at forms three and five in public examinations. They blamed management of the ministry for not having had an effective roll-out plan for the reform. Regardless of the fact that performance management had been implemented in public organisations for a long time globally, there were still major problems and expected improvements in performance, service quality and accountability had hardly materialised (Fryer, Antony & Ogden, 2009:482). One of the challenges in the public sector is that performance management was implemented with rules and regulations and it was thought these would run implementation without effective management of the activities that are involved (Mansor & Tayib, 2013:3). A study by Verheijen and Dobroiyubova (2007:22) in Russia revealed that performance management had been developed successfully and introduced in the public sector but implementation was unsuccessful because of lack of support related to organisational culture and human resource. The same situation could be possible for the public sector in Botswana where both managers and employees do not seem to support implementation efforts.

The performance management system in the public sector in Botswana is based on a number of components that include the vision, mission, values and balanced score card; performance agreements, reward system; business process re- engineering; performance monitoring, budgeting and evaluation as explained below.

3.11.3.1 Mission and vision

The vision, mission and values are regarded as key factors because they enable employees to realise the reasons for the existence of a department hence the importance of performance to enable the department to achieve reasons for its existence (Niven, 2003:xi). They enable an organisation to embrace a culture of high performance and employ people who will be able to embrace the culture and make the organisation realise its vision, mission and values (Hope & Player, 2012:13). When an individual joins a department in the public sector in Botswana, the

implication is that one is aware of the vision, mission and values of the department and will therefore assist the department to achieve its mission. The view in the public sector in Botswana which is based on experiences of other countries is that performance management can improve performance. The vision and mission of an organisation act as building blocks for strategy and should motivate employees to perform and achieve set targets so that the vision can be realised (Niven, 2003:101).

Performance management enables an organisation to verify if the vision is attainable or not (Halachmi, 2005:210). The presence of a vision in the implementation of performance management in the public sector in Botswana should motivate employees so that they can improve performance and ensure that their departments achieve the stated vision. The vision for the public service in Botswana reads, “We, the Botswana public service, will provide a world class service that is efficient, effective, caring and responsive to local and global challenges” (Monnaesi, 2011:30). Performance management should enable employees to improve performance so that they can offer service that is “world class” because performance management systems is meant to provide an opportunity for an employee to keep track of their performance and see if they are moving toward the attainment of objectives. Challenges of performance should be addressed along the way.

The mission statement of the public service in Botswana includes the provision of efficient and cost effective service and these are to be achieved through the implementation of performance improvement programmes and one of these is performance management. The mission statement also says the delivery of service in the public service has a supportive culture that is customer focused (Mothusi, 2008:47; Monnaesi, 2011:30). Performance management should then be viewed as an attempt by the public service in Botswana to improve performance and achieve the mission of the sector.

Literature on performance management generally agrees that the purpose of a vision and mission statement of an organisation is to motivate employees to work towards the realisation of the vision and mission (Niven, 2003:103). Performance management is therefore meant to improve performance in the public sector in Botswana so that the vision and mission of the public service can be realised. If employees understand the vision and mission of the public service, they should improve performance through the implementation of performance management.

3.11.3.2 Balanced score card

The balanced score card was introduced in the public service to support the implementation of performance management. It was meant to assist in performance reporting and it also assists in the realisation and mission of the public service (Nyamunga, 2006: 8; Monnaesi, 2011: 21). The participants of the study revealed that there were challenges of using the balanced score card in the ministries because of lack of understanding. A participant from the ministry of local government had this to say:

The balanced score card is a challenge for most departments in the ministry and a lot of training is required on how to use the instrument.

3.11.3.3 Strategic planning

Strategic planning is important in performance management because it shows the direction that the organisation is taking and the plans that have been put in place to achieve objectives as well as assisting in developing performance measures, monitoring instruments and reporting of performance (Niven 2003: 151). National development plans are used in the public service in Botswana to develop long and medium term goals for different departments (Nkhwa, 2003: 4). The reviewing of performance for employees is based on the performance agreements that are based on the bigger picture which are the national development plans (Nyamunga, 2006:7). Organisational strategy might not be easily understood by certain employees in an organisation and this might affect the achievement of objectives or the implementation of strategy (Nyamunga, 2006:7). At times the challenge is effective communication of the strategy and the implementation of performance management might not improve performance where the organisation does not succeed in communicating the strategy to all the employees as is the case in the public service in Botswana (Nyamunga, 2006:7).

The participants of the study were of the view that managers did not discuss strategic plans with employees. They were of the view that it was difficult for them to discuss strategy issues because of limited knowledge on strategic planning and they did not want to display their lack of knowledge to their subordinates. One participant from the ministry of education had this to say:

The challenge that school managers have is that teachers upgrade themselves and if you are not sure of something you would rather avoid it because teachers will challenge you and you get embarrassed.

3.11.3.4 Performance measurement

The balanced score card is used as a performance measurement and management system in the public service. The public service uses the balanced score card to translate plans into objectives and measures (Nyamunga, 2006:8). Ammons (2002:344) argues that many organisations may lack skills in the designing of score cards or performance measures and its use in gathering performance data and turning it into information may prove challenging. This has been one of the challenges in the public sector in Botswana. For example Vision 2016 did not have performance targets and milestones resulting in challenges of defining performance objectives and performance measures that were appropriate (Institute of Development Management Consortium, 2006:xi). If these are well defined, performance management is likely to have an impact on the performance of employees.

The participants of the study from both ministries were of the opinion that the measurement of performance through the use of the balanced score card was a challenge in ministries. The participants blamed the cascading model as it had proved not to be effective in disseminating information on the use of the balanced score card. This according to the participants had negatively affected the implementation of performance management because of its reliance on the collection of performance data.

3.11.3.5 Reporting of performance

The performance reporting tool used by the public sector in Botswana is the balanced score card. The purpose of performance reporting is to communicate the results of the performance (Nyamunga, 2006:6) and there are a number of committees in each ministry or department to deal with issues ranging from performance reporting to performance improvement. All these processes have been put into place to enable the implementation of performance management to improve performance.

Armstrong (2015: 11) notes that the overall purpose of performance management is to assist individuals and teams to improve performance resulting in organisational improvement.

Verweire and Van Den Berghe (2004: 24) argue that it creates motivation and commitment for employees to achieve organisational objectives by providing them with a performance direction so that they become aware of the effort they should exert in their work. The goal of performance management is to develop and enable employees to exceed performance expectations so that they can realise their full potential for their benefit and the organisation (Armstrong, 2015:11). Lee (2005: 34) views the purpose of performance management as enabling the correction of poor performance, sustenance of good performance and improvement of performance. The assumption is that the reporting of performance which is part of the performance management process enables individuals to improve performance.

The participants of the study revealed that performance had hardly improved since the introduction of performance management because of ineffective implementation. They pointed that the process should be followed if there is to be success and the challenge in the ministries was that some managers did not follow the performance management cycle because they lacked skills to implement certain activities in the cycle.

Table 3.2: Benefits of performance management to management and subordinates

Benefits to management	Benefits to subordinates
• PM provides an opportunity to integrate individual and organisational objectives • PM is used as a guide to achieve business needs • PM increase motivation and engagement • PM assists managers to be aware of individual contributions • Affords an opportunity to plan individual careers • Enables introduction of learning programmes to meet identified needs	• They become aware of what is expected of them • Individuals become aware of how they stand • Employees become aware of what they should do to achieve goals • Enables discussion with manager on job, development and training needs

Source: Armstrong (2015: 12).

The participants to the study were of the view that both managers and subordinates had not realised the benefits of implementing performance management because of ineffective implementation. A participant from the ministry of local government had this to say:

Since the implementation of performance management in our ministry there has not been any marked improvement in performance and as a department we have not benefited from its implementation.

3.11.3. 6 Budgeting system

Ministries and departments are allocated funds on an annual basis for the implementation of strategic plans. The public sector in Botswana uses line item budgeting and this method is known to have several weaknesses including gaming and dysfunctional behaviour where departments may deliberately set lower performance targets that can be easily achieved to enable employees to get performance rewards at the same time concealing performance challenges but using all the allocated budget to avoid a reduction of allocation from treasury in the next financial year (Hope & Player, 2012: 32). Line item budgeting has been singled out as one of the reasons that may make performance management fail to improve performance (Hope & Player, 2012:34).

Armstrong (2009; 210) argues that the implementation of performance management should improve organisational performance through the creation of a culture of performance. Implementation should result in improved individual performance leading to organisational improvement (Armstrong, 2009:210). Performance improves as a result of employee perception of what good performance is ; the agreement of performance goals; identification of areas where performance needs to improve; steps to be undertaken in order for performance to improve and development plans to be put in place so that performance can improve.

The creation of a performance culture seems to be a challenge in the public sector in Botswana because of the negative perceptions that employees have on performance management. Implementation has not had the expected impact because of negative perceptions and lack of management training to convince employees how performance management could benefit public sector organisations such as the local government and education ministries.

The participants from both ministries were of the view that shortages of resources were affecting effective implementation of performance management. Their view was that government had not set money aside for effective implementation. A participant from the ministry of education had this to say:

Most schools have only one computer which is mainly used by administrative staff and teachers have to queue to use the computer. Schools also do not have photocopying machines and yet performance management implementation requires the use of such equipment.

If implementation was to be effective there is a need to address the issue of resources. As long as resources were not adequate employees would blame the shortage of resources as one of the reasons for failure of implementing the innovation effectively. If there is one computer at a school it becomes a challenge for every teacher to have access to it and the shortage of resources could end up causing conflict between teachers and administrative staff.

3.11.4 How performance management improves the performance of employees

On how performance management improves the performance of employees, the views of participants were that the issues of accountability and responsibility play a major role in improving performance. The reviews that take place assisted in the identification of performance gaps and employees would then be assisted to improve their performance because performance gaps would have been identified and a plan to address them is put in place. The ability of the manager to assist the individual employee to improve performance was also important. The participants in both ministries were of the view that management had a role in the identification of weaknesses so that the employee becomes aware of areas for performance improvement. On whether this was the case during reviews one participant had this to say:

The problem is that some school heads feel guilty to identify weaknesses of teachers they have worked with for many years.

In such a situation it becomes difficult for teachers to improve performance because the school head finds it difficult to identify areas that need improvement and it defeats the purpose of performance management. The view of the study participants was that regional offices or headquarters should visit areas where there were performance challenges so that such issues are addressed. The officials of the local government ministry were of the view that regardless of the vastness of the districts, there was need for them to visit each district and address areas of concern in an attempt to improve performance. The study participants however revealed that they were also not comfortable to visit districts and conduct workshops because they were not experts in performance management. One of the participants had this to say:

When conducting a workshop I am expected to deliver an effective presentation but I am not an expert in the area and it is a challenge for me to do that. I have had no formal training in performance management nor attended a workshop for trainers of performance management.

The participants of the study were also of the view that the setting of targets assisted employees to improve performance. The set targets kept employees focused and as a result performance would improve. It was also the view of participants that reviews assisted in performance improvement because the supervisor would assist the subordinate to address challenges if they existed and if the feedback was constructive, performance was likely to improve.

One other issue that they viewed as assisting in the improvement of performance was that performance management speaks to you as an individual. The review is about you the individual and your contribution toward the attainment of goals. They also raised a concern with supervisors who just allocate marks without any review as this did not help either the department or the individual employee. The participants revealed that it was a common practice in departments for the supervisor to allocate average marks as a way of complying with the ministry requirement rather than assisting the individual employee to improve performance. A participant from the local government ministry had this to say;

Performance management speaks to every employee asking them how far they have gone with the attainment of their targets. One is always reminded of their obligations and it is up to the individual to be responsible because in the end one is accountable for their performance.

In order for performance to improve, procedures should be followed to assist employees to be better performers. The appraisal systems in the public sector in Botswana have not completely eliminated the subjectivity factor when evaluating the performance of subordinates because of the inclusion of assessment of personal attributes of an individual (Institute of Development Management Consortium, 2006: 33).

Performance management procedures in the public sector in Botswana require a supervisor to keep a performance log of each supervisee. The supervisor records observations related to performance; changes in objectives or work priorities; improvements and challenges in performance; feedback provided to the subordinate; tasks accomplished and challenges as well as interventions suggested for improvement of performance (Republic of Botswana, 2004:12). The

participants from both ministries were of the view that supervisors were not doing their work as required hence challenges in implementation. A participant from the local government ministry had this to say:

The feeling at headquarters is that managers are not doing what they are supposed to do and in some cases employees do not get feedback on their performance from their managers. Employees end up perceiving performance management as not effective because of lack of performance feedback from managers.

The subordinate should also keep their own record of performance which may include among other things one's task objectives; performance challenges; feedback on performance; suggestions for improvement and coaching from the supervisor (Republic of Botswana, 2004:13). This is done to ensure that performance is monitored so that the employee is aware of their performance and where there are performance gaps; interventions are implemented to improve performance.

Meetings between the supervisor and supervisee should take place at least once a week to discuss and check progress made towards the accomplishment of objectives and factors that may be hindering the achievement of objectives (Republic of Botswana, 2004:11). Such meetings assist in guiding and coaching the subordinate to perform to expected levels. Nyamunga (2006:12) is of the view that some managers find such meetings challenging especially where they had to offer coaching and counselling because of lack of skills to do so. However if such meetings are productive, they assist in improving the performance of employees and making performance management a vehicle for the improvement of employee performance. Participants from both ministries were of the view that review meetings will remain a challenge until there is adequate training for managers so that they can be confident in conducting review meetings. A participant from the education ministry had this to say:

In my 10 years as a practicing teacher, I never had a review meeting with my school head to discuss my performance. The head would write my ratings on a paper and send a school prefect to give me. That was how things were done at the school.

Performance reviews assist employees to improve performance. The purpose of reviews is to look at how the employee had performed against set objectives and the reviews in the public

sector in Botswana are done quarterly during the months of June, September, December and March. The participants of the study revealed that in some departments supervisors failed to review the performance of employees during the stipulated periods resulting in them just allocating marks and sending the forms to headquarters without the signature of the employee showing that the manager completed the form in the absence of the employee. This defeats the purpose of performance management because the individual employee is not aware of areas that need improvement.

Performance reviews assist supervisors to identify employees who have achieved targets and those who have performance challenges and what the challenges are (Mothusi, 2008:40). Nyamunga (2006:13) argues that supervisors in the public sector in Botswana have challenges when it comes to assisting employees who have performance challenges and need coaching. This had led to delays in holding reviews quarterly in the public sector in Botswana resulting in delays and backlogs of sending review reports to head offices of different ministries (Nyamunga, 2006:19). However, if reviews were effective, they would result in performance improvement as a result of the implementation of performance management. Lack of training for supervisors could contribute to this because the supervisor might have challenges on what to suggest for performance to improve and review meetings may not be as effective as they should be if the supervisor has challenges.

As a way of improving performance through the implementation of performance management, the public service introduced customer feedback systems. There are toll – free numbers that customers can use to complain about unsatisfactory service and suggestion boxes have been placed in government departments for customers to comment on the service levels in different departments and ministries (Bashe & Jongman, 2006:25; Nyamunga, 2006:15). The public service also introduced customer service standards stipulating the turnaround times for the delivery of certain services such as the payment of suppliers which should be ten days (Mothusi, 2008:152). To show its concern on service delivery, the participants of the study revealed that government now publishes free – toll telephone numbers of ministers where the public can call the particular minister and complain about poor service delivery. This is an attempt to make the public report non-performing public servants and also make the minister aware of the challenges that the public faces in service provision in the particular ministry. The participants of the study

were however not sure how effective the exercise had been in the provision of quality service or whether there had been a change of attitudes among civil servants as a result of this development. A participant of the ministry of education said:

If parents are not happy about the performance of a certain teacher, they can use the toll – free number to call the minister. The minister can then alert the school head.

A customer satisfaction survey that was conducted in 2005 on the level of satisfaction of service delivery in the public sector had a 25% satisfaction level which was far lower than the international score of 75% (Mothusi, 2008: 49). The 2009 survey had a customer satisfaction level of 27% indicating that there had been very little change in the perceptions of customers on the level of satisfaction of customer service in the public sector in Botswana (Monnaesi, 2011:38). The latest customer satisfaction survey in the public service was conducted in 2012 and the results have remained the same (Botlhale, 2015:13).

Implementation of performance management on its own cannot result in performance improvement unless implementation is effectively done. Strebler, Bevan & Robertson (2001: 15) suggest the following principles in order for performance management to be effective:

- Aims and measurable success criteria should be clear
- Involvement of employees during designing and implementation
- It should be simple and easy to use
- Its use should be the basics of achieving all management goals
- It should enable employees to be clear of the relationship between their performance goals and goals of the organisation
- It should focus on clarifying roles of individuals and performance improvement
- Training and development should be part of performance improvement
- Clearly state the link between performance and rewards and address issues of equity and transparency
- Regular reviews against success criteria should be done

Participants from both ministries were of the view that accountability was not taken seriously and if a manager did not send performance reports of employees to headquarters, the assumption that is made is that the manager did not have enough time. Such a situation weakens

implementation and the other challenge was that in most cases the manager was not held responsible for not doing their work.

3.11.5 Impact of support of new performance management initiatives

On what is done in the two ministries to ensure support of new initiatives by management and subordinates, participants were of the view that not much is done. The participants from the ministry of local government highlighted the challenges of making sure that ministry officials visit every district to introduce a new initiative and at times some employees would hear from colleagues in another district that the ministry had introduced a new initiative. In such cases it would be difficult for both management and employees to support the new initiative because they would feel it is not for them. A participant from the local government ministry had this to say:

The size of the ministry poses a challenge for officials to visit every district and introduce a new initiative. The cascading approach has been used but it looks like it has not been effective. Communication has not been effective between headquarters and district offices.

The participants from both ministries were also of the view that the practice of not involving managers and school heads from the initial stages of an initiative was a challenge because it resulted in lack of support of a new initiative in performance management. Communication between head office and districts was not effective and this was perceived as deliberate by managers in the districts as well as school management teams. The participants to the study revealed that those who worked outside headquarters were of the perception that officials at the helm of the ministries did not take them seriously hence they were not consulted when new initiatives were introduced. As a result the initiatives lacked the support of the very people who were supposed to implement them. The participants in the education ministry singled this as one of the reasons for the poor implementation of performance management in schools. They were also of the view that the teachers' unions were also influential in discouraging teachers and school management teams from supporting initiatives that they read about from newspapers without getting involved from the initial stages.

The participants from the ministry of education revealed that they would get calls from school heads enquiring about rumours of a new initiative and it was difficult in such situations for both

school heads and teachers to support the new initiative because they would feel they were initially left out. The perception would be that since the ministry did not inform them about the reform, then they should not get involved. The participants were of the view that regional offices should be given powers to introduce new initiatives but presently they only had semi-autonomous powers and there was little decentralisation of power.

It was the view of the participants that regional offices did not reach out to schools or departments in their region because they felt it was the responsibility of headquarters to introduce new initiatives. Headquarters decided how information on a new initiative would be disseminated and in most cases travelling to all regions of the country to meet departments or school heads was a challenge because of shortage of resources. The participants were of the view that getting both management and employees to buy – in on a new initiative was important because these were the people who implemented the initiatives. A participant from the education ministry had this to say:

We are always willing to go out and sell a new initiative to schools but when we are told that the ministry has no money, the cascading approach becomes the solution and it is difficult to convince teachers and school managers through the use of the approach.

The two ministries use the cascading model to get new initiatives to different departments and schools because of the vastness of the country and shortage of resources. This resulted in some departments and schools not getting the communication on a new performance management initiative. It was the view of the participants that this approach could result in less support for a new initiative. In most cases the two ministries called directors of departments and informed them about a new initiative and in turn the directors were supposed to cascade it down the hierarchy of the departments. The challenge was that the directors would not take it upon themselves to ensure that information had reached all the concerned employees. The top – down approach can either be effective or at times there are challenges in disseminating information about a new initiative through the cascading approach.

Public sector organisations should guard against the acceptance of an innovation by trying to doubt its effectiveness (Mulgal & Albury, 2003:14.). Public sector innovation attracts a lot of attention and if there are doubts about its effectiveness there will be opposition and scepticism

which might affect its implementation (Raipa & Giedraityte, 2014:12). It is important for the public sector to predict potential risks of implementation and address them so that these potential barriers of an innovation are dealt with. Predicting potential risks enable organisations to neutralise the risks so that implementation can succeed (Akintoye & Beck, 2009:18). There is therefore a need for officials from headquarters in the two ministries in Botswana to visit districts and convince employees to embrace any new initiative rather than using the cascading approach.

If the ministries do not change the way they introduce new performance management initiatives, there is likely to be lack of support for these initiatives because the implementers would appreciate a situation where they were involved from the initial stages. If that happens it would be easier for new initiatives to be supported by the implementers. Participants from both ministries were of the view that lack of a better way of informing departments and schools resulted in employees and managers developing a perception that the initiative was not important hence officials from headquarters did not personally introduce the initiative. The other challenge was that of managers who failed to explain the concepts when they were back from a workshop. A participant from the local government ministry had this to say:

After a workshop, managers sometimes tell us that it would be difficult for them to explain what had been covered at a workshop because of the limited time of workshops and the amount of information disseminated. In the end the employees get little information from their managers who would not have fully understood the initiative.

The participants of the study from both ministries were of the opinion that a better method should be used to disseminate information. The top-down approach had not been successful and had resulted in employees not supporting a new initiative.

3.11.6 Impact of lack of performance management support by management

On what would make management not support an innovation such as performance management, the participants were of the view that some top officials in ministries supported an initiative that put them in the limelight. The participants from both ministries were of the view that top officials in the two ministries fought silent battles when it came to the origin of new initiatives. Top officials want to be associated with initiating a reform so that they get praise as having

introduced a reform that seemed to work. If an initiative originated from another individual, it was hardly supported by other top officials. A participant from the education ministry had this to say:

Some top officials want to be praised for being the original source of an initiative and will hardly support a reform initiated by another top official. They would not say it publicly but when they are with subordinates they made comments that indicated their disapproval of the initiative.

Participants from the local government ministry gave an example of a top official who introduced an innovation and was transferred to another ministry. The official who came to replace the one who had left abandoned the initiative and introduced a new one. After some time the official who had been transferred was brought back to the ministry and re – introduced the abandoned initiative. Hamson (2004:6) notes that transfers of heads of departments or end of term of office affects innovative projects that had been started from having an impact.

In a focus group discussion from the local government ministry, the participants were of the view that the challenge with top officials at the rank of permanent secretary was that they wanted to appear in newspaper headlines as having introduced a certain innovation and were reluctant to continue with an innovation that was introduced by their predecessor. Participants were also of the view that management may not support a performance management innovation if it did not originate from them and would instead bring politics into the work place instead of being implementers of a reform. They would criticise an innovation and such actions by management would result in reluctance on the part of subordinates to implement the innovation effectively.

Participants of the study were of the view that at school level some school heads resisted some performance management initiatives arguing that previous ways of doing things were more effective. They would argue that performance management was taking a lot of time from the core business of the school which is teaching and learning. They would also argue that they spent a lot of time attending to performance management procedures and processes instead of supervising teachers to do their work. This also resulted in reviews not being done and at times teachers were just allocated ratings without any review and the view of the participants was that this defeated the purpose of performance management which is the improvement of performance through effective management of performance. In a school set up the purpose of performance

management is to identify specific performance needs for teachers; provision of support for continued growth of teachers; promotion of accountability for individual teachers; evaluation of teacher performance and of the effectiveness of the school in general (Darling – Hammond & Richardson, 2009: 49).

The success of performance management at school level depended on the following factors: the way in which the reform was communicated to teachers and schools in general; the effectiveness of PM training on teachers; the quality of guidance and coaching teachers receive from school heads; the holding of staff development workshops at school level/ cluster or region and the availability of resources to support implementation (Verspoor, 2004:6). One of the participants from the education ministry had this to say:

One of the challenges that I have observed with school managers is that they get too friendly with staff members and it becomes a challenge for them to perform their supervisory role to subordinates who are regarded as friends. Staff members do not take the managers seriously because of the relationship they have.

Regardless of the improvement of performance that is supposed to result from the implementation of performance management its effectiveness in the education sector has been questioned (Heystek, Roos & Middlewood, 2005:33). It is not always possible to link PMS to financial rewards because some teachers may feel discouraged and not participate in the reform (Heystek et al., 2005: 33). It is not easy to determine what constitutes effective teaching like in business and factors such as input and output may differ from school to school and associating rewards to performance in the education sector may be difficult (Heystek et al., 2005:33). Heystek et al. (2005:33) argue that the core business of schools is teaching and the nature of activities involved in performance management leave teachers with inadequate time to carry out the core business of schools.

Riches and Morgan (1998:52) cited an important challenge of assessing teaching for purposes of implementing performance management. The challenge is that there are no universally agreed criteria for effective teaching and it becomes difficult to design a suitable instrument to assess effective and creative teaching (Riches & Morgan, 1998:52; Sergiovani & Starrat, 1993:71). Appraising, measuring and evaluating the performance of human beings is not easy and can

bring issues of objectivity and validity into the picture (Machingambi, 2013:218). This was supported by participants who revealed that school managers did not find it easy to tell teachers that their lessons were not effective for fear of being challenged by teachers on what constitutes an effective lesson. A participant from the ministry of education said:

During workshops some school managers have challenged the contents of the appraisal instrument on the basis that some of its contents are not relevant to education.

Hamson (2004:6) identifies three categories for resistance to change namely open, hidden and delayed resistance. In open resistance employees react as soon as change is introduced and they state their grievances. In hidden resistance there is lack of loyalty and willingness to work by employees. In delayed resistance the reaction of employees becomes apparent after a while. Hidden and delayed resistance may not be easily recognized by management and managing them might be a challenge (Hamson, 2004: 6). Resistance to innovation may be overcome through communicating with employees, involving them in decision making and training them in new skills that are required to implement the change (Hamson, 2004:7). Armstrong (2015:15) maintains that practicing managers are of the view that performance management is a natural process of management and it is a tool that assists managers to manage and its use is influenced by what the organisation is and aspires to be in its performance culture.

The participants of the study were of the view that lack of effective communication and understanding of an innovation may also lead to management not supporting a particular innovation such as performance management. In their view this often leads to resistance. Lack of effective communication may lead management not to see the value of an innovation and they will not support it.

One of the crucial factors in implementation is for management to have the necessary experience, expertise and competencies (Dzimbiri, 2008: 48). If management is not involved in the initial stages, they are not likely to support the innovation especially where they lack competencies and have to call headquarters to confirm if what they are doing is correct. Lack of communication has also resulted in school heads calling the ministry to find out if they have introduced an innovation that they would have heard through colleagues from other schools or departments. It was the view of the participants that the two ministries are too big for purposes of

effective dissemination of information and the shortage of resources such as transport and human resources made it difficult to travel to all districts and regional offices to inform management of a new initiative. This is where the cascading model comes in. The cascading approach has a number of challenges including lack of buy-in and ownership because it is often associated with command and control, restricts creativity and innovation and hardly includes the views of implementers (Hope & Player, 2012: ix).

Participants from the ministry of education and skills development were of the view that school heads strongly felt that they should be consulted at the initial stages of an innovation so that they could also have some input since they were the implementers. If they were not consulted, the result is insufficient buy – in and resistance from the implementers. The participants were of the view that there was need for the ministry to increase the number of performance improvement officers so that there is effective roll-out of performance management initiatives.

The participants were also of the view that management of the two ministries based in the districts should feel that they own the innovation and this could be achieved when they buy – in the innovation as a result of getting involved from the initial stages. One participant during focus group discussions said if management is not involved from the initial stages they usually use the local phrase “hasi – game” literally interpreted as “it is not mine -let them do it” and this resulted in the innovation having implementation challenges. The feeling among management would be that the innovation was imposed on them and headquarters should therefore supervise the implementation of the innovation. The participants cited examples where they got to schools and they were asked for how long they would stay so that they oversee the implementation process because there was no consultation with school management from the initial stages. The assumption would be that officials from headquarters will be in charge of supervising implementation hence they did not consult school heads from the initial stages.

3. 11.7 Innovative performance management and its impact on employee performance

Public sector innovation can be delineated into three periods: the Schumpeterian period in which innovations and the public sector are linked to a larger theory of how change takes place in society; organisational theory period where public sector innovations are similar to private sector innovations and; autochthonous theory period which is the current trend which differentiates public and private sector innovations (Kattel et al., 2013: 1).

The Schumpeterian period which originates from Schumpeter(1912) views change as being driven by entrepreneurial people who are creative and search for new combinations and come up with new ways of doing things be it in politics, art, business or science and these changes may even affect value systems and hierarchies (Kattel et al., 2013:1). The innovator or entrepreneur in this case is the public sector because the theory was crafted under socialism where there was no private sector. Governments can then invite the private sector where it is present. This theory views the public sector as taking a crucial role in innovation.

During the 1960s organisational theory researchers on innovation did not differentiate between the private sector and the public sector (Kattel et al., 2013:2). Innovation was defined as the generation of new ideas or products and services and was taken to be the capacity to adapt or change regardless of whether it was the public or private sector (Kattel et al., 2013:2). There is a lot of literature of this time that dealt with innovation and the emphasis was on changes of core tasks regardless of the sector (Kattel et al., 2013:3).

The literature of the autochthonous theory period at the beginning of the 2000s on public sector innovation is viewed as moving away from private sector innovation (Pollitt, 2011:37; Moore & Hartley, 2008:5; Albury 2005:51). Although literature tries to show differences such as public sector decentralisation and private sector products as results of innovation, there is not enough that has been done to differentiate public sector innovation from private sector innovation (Kattel et al, 2013:3).

Present day literature seems to pay less attention to evolutionary character of changes that are viewed as innovations and there seems to be awareness that the management of innovation is different from managing developmental change (Osborne & Brown, 2013:3). Kattel et al. (2013:4) argue that literature on public sector innovation falls short to clearly coming up with selection mechanisms that could be used to distinguish between innovations and ordinary changes. For example what would make a certain performance management initiative be viewed as an innovation and the other not? There is a need to clearly distinguish public sector innovation from ordinary change so that the meaning of innovation does not lose credibility. Pollitt (2011:37) argues that one of the challenges is that management workshops on innovation are always filled with buzz words and concepts that lack specific and empirical grounded propositions.

Bureaucracies in many cultures want to conserve work patterns such as following strict rules and methods that are said to have worked for some time and there is reluctance in most cases to try and replace them with new ones which are viewed as risky or complicated (Vigoda–Gadot et al., 2005: 57). This is the general view of public officials as policy formulators. Historically, the public sector did not compete in the market and there was therefore no pressure for the sector to update service delivery and improve performance (Vigoda–Gadot et al., 2005:57). Competition and innovation were associated with the private sector. This view shows that innovation and bureaucracy make an odd couple (Borins, 2001:312).

Values associated with bureaucracy such as hierarchy, impersonality and specialization are the opposite of those associated with innovation such as flexibility, creativity, adaptability and risk taking (Borins, 2002:469). This is why the topic of innovation has not been popular when talking about the renewal of public administration. Public organisations face many barriers in creating innovation because of wider social considerations involved. Cultural differences and red tape are examples of these obstacles (Vigoda–Gadot et al., 2005:61). Public officials and organisations generally oppose rapid changes that do not agree with their cultural orientations such as tradition, previous knowledge and experience as well as institutional solutions which have always played a key role in influencing management decisions (Vigoda-Gadot et al., 2005:61).

Public organisations are less accommodative to transformation and innovation because of their inflexible design and red tape. Vigoda–Gadot et al., 2005:61) argue that the public sector has vertical and ineffective communication channels, decision making is dogmatic and this negatively affects innovation. If the public sector of a country is still using the old style of public administration, it becomes a challenge because of the incompatibility of the style with innovation.

In classical bureaucracies, one may find that the goals of innovation may not be clear with a will to improve performance and also a desire for safeguarding existing structures and traditions of government (Levi–Faur & Vigoda–Gadot, 2004: 37). It should be noted that the NPM doctrine perceives innovation as a way of improving the functioning of bureaucracy through effective management skills (Levi–Faur & Vigoda–Gadot, 2004:37). When the public sector moves towards post – managerialism the culture of public organisations is transformed to accommodate

grass – roots ideas, make employees value innovation and develop a norm of global organisational learning (Levi–Faur & Vigoda–Gadot, 2004:37).

Globalisation may have an important role to play in innovation (Shavinina, 2003:23; Carayannis & Gonzalez, 2003:595). There is a shift from a single–country based approach to a global system – based approach where public sector organisations from across the globe have access to many innovations from many global sources (Shavinina, 2003:23.; Carayannis & Gonzalez, 2003:595). Public sector organisations cannot run away from continuous learning resulting in a situation where there is sharing of best practice in managing the public service. This is the situation in which the public sector finds itself in Botswana. It has adopted innovations that have been developed in other countries and the impact on employees has been negative because of that. A participant from the local government ministry said:

Some employees have questioned the relevance of performance management to the public sector in Botswana since it was not a developed country and the use of an innovation imported from a developed country has been a subject of debate during workshops.

The two ministries could be said to be innovative in performance management to a certain degree because they have implemented a number of performance management initiatives imported from other countries. The reforms that have been implemented in the public service in Botswana are a mixture of performance management systems and performance monitoring as well as evaluation tools that have been imported from various countries (Mpabanga, 2016:69). If benchmarking from other countries can be perceived as innovation then the public sector in Botswana could be said to be innovative. However if innovation was perceived as coming up with original ideas that work then the public sector in Botswana would have challenges of being innovative in performance management. Perhaps what could be done is to adapt what has been imported from other countries to suit the local conditions and situation. A participant from the education ministry said:

The ministry of education has introduced various reforms. However most of them have not improved performance. The number of innovations introduced by the ministry makes it an innovative ministry and their effectiveness in improving performance is something else.

Performance management was introduced in the Botswana public service as a recommendation from the World Bank (Mpabanga, 2016:69). Productivity improvement and WITS were recommended to the public service by consultants from Singapore (Mpabanga, 2016:69). Contract employment and the weeding out of non-performing employees were borrowed from New Zealand and Australia (Republic of Botswana, 2003:3). To some extent one could say that the public sector in Botswana was innovative because of importing ideas and processes from other countries.

Mpabanga (2016:69) argues that while performance management, monitoring and evaluation tools were adopted from other countries, effort was made to adapt them so that they would suit the conditions of the Botswana public service. International organisations were used by the government to benchmark and recommend initiatives that could work in the Botswana public service. Recommendations were made to the government to transform the public service and train leadership in the implementation of performance management.

The adoption of the performance management process in the public service introduced the strategic thinking and planning process in the public service (Kealisitse et al., 2013:47). When the balanced score card was introduced in the public service, the existing performance management system was incorporated as part of the score card (Kealisitse et al., 2013:47). The score card framework was meant to enhance performance management through the use of the concepts such as key results areas, key performance indicators and targets for setting strategic objectives (Kealisitse et al., 2013:47). For example the score card was used to measure performance as well as achievements on customer service and other issues such as learning and growth (Mpabanga, 2016: 73). The balanced score card that was adopted by the public service included the key elements of PMS (Republic of Botswana, 2003:6). The items on score cards are reviewed on a monthly basis to see if individual employees are moving towards the achievement of key performance areas and targets and monthly meetings are chaired by permanent secretaries to evaluate the performance of a ministry or department (Molale, 2009:12). Permanent secretaries use the score card to evaluate and monitor progress on the implementation of policy and programmes. Monitoring and evaluation of key performance areas assist ministries and departments during review meetings to assess progress that was being made and whether

progress was aligned to the national strategy (Mpabanga, 2016: 73). The national vision which ended in 2016 included the following components (Mpabanga, 2016:73):

Table 3.3: Vision 2016

Vision 2016
The national development plan
Integrated development planning
Performance management system
The balance score card
Results based management
Integrated results based budget
Integrated personnel performance system
Performance based reward system
Integrated monitoring and evaluation system

Source: Mpabanga (2016: 73)

The score card framework was used to come up with the national development plan with main elements of the plan included in the score card as shown below. The national vision which ended in 2016 guided the priorities for the development plan. The current vision ends in 2032.

Table 3.4: Balanced score card

Balanced score card	Key result areas & national goals	Projects, program & policy
Customer Stakeholder	Visionary leadership Governance, value based	Customer satisfaction survey Political will & commitment
Financial	Financial management Result based budgeting	Waste reduction Privatisation strategy Accountability by permanent secretaries
Internal processes	Implementation & coordination Reduce bureaucracy	Decentralised HR functions 52 service standards published 237 processes re – engineered across government Establish private partnerships Implement ICT policy
Learning and growth	Human resource management HR planning leadership capacity	HRD strategy Leadership development Public Service Act Bi – annual reviews

Source: Mpabanga (2011: 59)

In the early 2000s business process engineering process was introduced as a way of improving the performance management system (Republic of Botswana, 2003:5). This was meant to improve effectiveness and efficiency in the public sector. As a result of re- engineering, a number of standards were introduced and the two ministries have displayed these so that customers are informed of the service delivery standards (Mpabanga, 2016:71). For example the

payment of suppliers takes ten days (Mpabanga, 2016:71). In practice however, the time taken to pay suppliers could be much longer and the question to be asked is who is to blame for the delay?

Re – engineering also focused on performance monitoring and evaluation to improve management and service delivery and this resulted in a revised tool for monitoring and evaluating performance for both departments and individuals (Mpabanga, 2016:71). Re - engineering also resulted in the appraisal of employees taking place quarterly instead of once a year (Mpabanga, 2016:71) as well as the introduction of financial and non – financial performance rewards. Financial rewards however have tended to be a challenge and a small number of best employees from departments may be rewarded once a year if funds are available or this could be once in every other year.

Strategic planning and management process adopted from the private sector were introduced into the public sector through performance management (Armstrong, 2009:21). Strategic planning focused on main objectives tied to responsibilities and key performance areas as well as indicators for each department and this was tied to plans of individual employees aimed at improving performance and service delivery to customers (Mpabanga, 2016:71). A participant from the local government ministry said:

The ministry has tried various reforms. The challenge has been performance improvement. Employee motivation seems to be a challenge for performance improvement.

The performance based reward system (PBRS) was also introduced across the public service and good performers were to be given financial or non – financial rewards (Mpabanga, 2016:72). The new PBRS is supposed to include rewards such as salary increases and promotion for those who perform well and supervisors can recommend that non – performing employees go for training (Mpabanga, 2016:77). The public service also holds excellence awards for outstanding employees and this is done annually if funds permit. On this day outstanding performers are issued with certificates and some get financial rewards. However because of financial constraints, PBRS has not had the effect it was intended to have and most employees who deserve to be financially rewarded get non – financial rewards such as letters of appreciation or employee of the month certificates (Kealisitse et al., 2013:47). Mpabanga (2016:77) argues that

a study on the reward system in the public service had revealed a number of challenges such as lack of goal clarity, performance targets, customer focus as well as lack of employee role allocation and this is contrary to the goal setting theory (Kealitse et al., 2013:48).

On the perception of whether the two ministries were innovative in performance management, participants had mixed views. Some participants were of the view that the ministries were indeed innovative although most of the new initiatives were imported from other countries. The participants were of the view that new initiatives hardly originate from their ministries and the participants were of the view that this was an issue that the two ministries should be worried about. A participant from the ministry of education revealed that top officials in the ministry were always on the look out to find out what South Africa was doing so that the ministry could benchmark.

The other participants were of the view that the ministries were not innovative in performance management. They revealed that it was difficult to think of an innovation that had originated from Botswana despite the presence of the Botswana Institute of Development Policy Analysis (BIDPA) which is a government think-tank organisation. Some participants were of the view that the ministries did not encourage employees to be innovative hence the reliance on reforms from other countries. One participant from the local government ministry was of the view that Botswana were not risk takers and wanted to rely on ideas that had worked in other countries.

Participants from the ministry of education singled out benchmarking from other countries as one of the factors that had assisted the ministry to continue being innovative in performance management. The challenge was in adapting the imported performance management initiatives to the local situation. The PDP forms copied from other countries had been modified several times to suit local conditions and circumstances. A participant from the education ministry had this to say:

It can be embarrassing at a workshop when employees ask if ministry officials had revised the document being introduced because the name of the original country of the innovation would still be on the document.

All participants of the study agreed that there was need to thoroughly revise innovations imported from other countries so that they become relevant to the local situation. All participants

were of the view that most innovations copied from other countries would have an element that was not relevant to the local situation. Some participants were of the view that some innovations were not effective because they did not originate from Botswana. Other participants revealed that when employees complain about imported innovations the question of home grown practices always emerged. Some employees complained about the suitability of imported innovations to the local environment and why Botswana could not come up with their own innovations in performance management.

Employees from both ministries had raised concern on the suitability of the PDPs to the local situation and DPMS had responded by making changes to suit local conditions. This had however resulted in complaints from school management teams who felt that these constant changes confused teachers and made them resist performance management as not suitable for managing teachers' performance.

The participants revealed that the ministry of education had also decided to divide the ministry into three sections for purposes of effective supervision. It had been divided into the following: Basic education; tertiary education and vocational education. The innovation had been imported from another country. Whether it will improve supervision is something that will be evaluated after some time.

The participants were of the view that the ministry should introduce new ways of improving interaction between headquarters, regional offices and schools for effective communication especially when there is a new innovation that should be implemented. The participants revealed that the ministry of education had also benchmarked on how other countries analysed results from schools and a decision would be made whether the method could be used as an innovation in the country. Leadership coaching had also been started by the ministry to enable school management teams appreciate that the teaching and learning environment will continue to change through benchmarking from other countries and school management should gear themselves for those changes and assist teachers in implementation. The challenge that public sector organisations experience is having a risk adverse culture where the bias might be to play it safe by selecting an alternative of doing nothing (Tan, 2004:7). It is important for public sector organisations to create standards of service, inform society about them and account for those

activities (Tan, 2004:7). The culture of an organisation can negatively affect innovative change management and can actually become a barrier of innovative ideas (Walker et al., 2010: 31).

Participants of the study revealed that communication in the two ministries was mostly top – down and employees perceived that innovative ideas should come from top officials. There was a limited platform for employees to suggest new ways of doing tasks in the two ministries because of the structure of the ministries. A participant from the local government ministry was of the view that some Batswana look down on original local initiatives and this demotivated employees from suggesting innovations that could be used to manage performance. The participant had this to say:

We are used to copying everything from South Africa and even the division of the ministry of education was an idea copied from South African. I feel we have a challenge in developing our own new ways of doing things or developing new processes. South Africa has become our measuring yard stick.

During the focus group discussion for the ministry of education some participants revealed that some top officials in the ministry seemed to regard Botswana as a province of South Africa and innovations that were made by the education ministry in South Africa were quickly copied. An example given was that of changing the number of school terms to four because South Africa had four school terms.

One of the barriers to innovation in the public sector is regulatory requirements (Raipa & Giedraityte, 2014:12). The structure in the public service in Botswana is bureaucratic. In a bureaucratic structure there are clear cut divisions of activities or duties. There is a system of controls and regulations. Activities are done following clearly defined rules. According to Mulgal and Albury (2003:14) innovations that are successful require ‘breaking the rules’ and red tape and public sector organisations can be a barrier to innovation. Some of the regulatory requirements are unnecessary and prohibit employees from being creative and it does not necessarily mean that if there were many rules, there was better control (Raipa & Giedraityte, 2014:13). There was need to limit the effects of red tape by modifying or reviewing rules that limited employees in the bureaucracies from becoming innovative.

Participants from the local government ministry were of the view that there was not much innovation in the ministry but singled out decentralisation as one of the innovations that had assisted in the improvement of service delivery. Local authorities understand local circumstances better than headquarters and decision making at local level had improved service delivery to the local communities. Prior to decentralisation most decisions had to come from headquarters and this proved to be a challenge.

Participants from the local government ministry were also of the view that there was not much innovative performance management in the ministry because of the political influence in the ministry when compared to other ministries. Their view was that there was interference by politicians in the ministry and it was not easy to introduce an innovation that was not supported by local authorities or central government. The participants were of the view that this could be the reason why the ministry was the last one to implement performance management.

Some participants were of the view that there was some innovation in performance management although more could be done. Other participants were of the view that the education ministry was not innovative enough because if it was, more could have been done to manage employee performance leading to the improvement of teacher performance and learner results. Importing innovations from other countries also made employees resist some of them on the pretext that they were not relevant to the local situation.

Raipa and Giedraityte (2014:10) argue that innovation in the public sector is more complex because it affects a lot of stakeholders including society at large and has an impact on essential public services. It gets a lot of attention and criticism from all sectors of society including the media especially if it fails to work making it very risky and success may not be guaranteed hence the need to identify barriers before embarking on it so that it succeeds (Bland et al., 2010:8). Some of the barriers to innovation in the public sector include lack of funding and management support, lack of incentives for staff, staff resistance and uncertainty of its acceptance by users (Raipa & Giedraityte, 2014:11) and the public sector in most cases has a risk – averse culture. Poor skills in change management and the reluctance to discontinue programmes that have failed to work are some of the challenges of innovation in the public sector (Mulgan & Albury, 2003:15). According to Glor (2003:11) barriers to innovation should involve innovative thinking where alternatives are considered so that when implementation takes place logic and causal

analysis has been done. Innovation in the public sector can be a challenge and needs a lot of careful judgement, thought and innovative thinking (Glor, 2003:11).

The participants from the local government ministry were of the view that some officials were not comfortable with introducing an innovation in the ministry because if implementation failed, the official would be held responsible. Introducing an innovation that had worked in another country was perceived safer because the officials would defend themselves by making reference to the country where the innovation had worked. One of the participants had this to say:

It is risky to initiate an innovation because if it fails, your name will be all over the media. That is why copying from other countries was regarded as safer.

During a focus group discussion, participants from the ministry of education were of the view that employees were not innovative in performance management. The discussion also centred on the lack of innovative ideas in the public service and the general consensus was that the public sector was a limiting factor in making employees innovative because of its bureaucratic nature. Some participants were of the view that the public sector was not receptive to new ways of doing tasks. A participant who had joined the ministry in the previous year revealed that experienced employees in the ministry were also a barrier to innovation because they would tell anyone who came up with a new idea that it would not work in the ministry.

Participants from both ministries were of the view that innovation was not a common practice in the ministries because of the nature of the public service. Most senior officials in the two ministries had been with the ministries for years and in most cases they would not welcome changes. The participants were of the view that the top officials in the ministries were comfortable with the old ways of doing things and tradition was important in the public sector. A participant revealed that new ideas were perceived negatively because they would change the way things were done in the department or ministry. The participant said the usual response from the top officials would be:

We have been around and we know what works.

The participants from the ministry of education indicated that they sometimes received complaints from newly qualified teachers on school managers who were not comfortable with

implementing new methods of supervision. The school managers may choose to appraise the teacher on a day that the two parties have not agreed on and this would be contrary to the agreement between the parties. School managers would indicate that the agreement is done for headquarters but on the ground the appraisal could be done at any time. The participants were of the view that such managers found it difficult to implement performance management according to set agreements and would be more comfortable with old methods of teacher appraisal.

3.11.8 Impact of motivation on employee performance

Participants from both ministries were of the view that motivation played a crucial role in the accomplishment of set goals. Ministry of education participants indicated that the ministry had done a lot to improve the welfare of teachers and this was a way of trying to motivate them. For example teachers were provided with subsidised housing and the houses were near their work places. Some good performers had been rewarded with trips to China if there was a government delegation going to that country and this also applied to the local government ministry. There is an excellence awards day that is held when funds are available to recognise good performers in each ministry and the top performer can walk away with as much as P 12 000. However funds were limited and an occasion like this could be held after two years or so.

All participants from the education ministry revealed that teachers were not happy and felt betrayed by government because when performance management was introduced the promise was that good performance would be rewarded. However this had not been the case and teachers did not see the value of performance management if there were no rewards. A participant from the ministry of education had this to say:

Some teachers have told us that there was no use for them to complete PDP forms if good performance was not rewarded. Their argument was that there should be a difference between good performers and poor performers. It becomes difficult for us to motivate them during workshops or when they come to headquarters.

Other forms of motivating employed in the two ministries included fast tracking promotions for good performers, certificates, and letters of appreciation or retreats to tourist resorts if funds were available. The participants were of the view that the two ministries attempted to motivate employees and if funds were available monetary rewards would be given to employees from time

to time. Rewards were said to create a platform for motivation and those who got rewarded seemed to maintain good performance. The implications for the expectancy theory highlight the need for linking rewards with high performance (Armstrong, 2003:221). Managers should try and foster high E → P expectancy in employees (Armstrong, 2003:221). This can be done by being clear about performance expectations; setting challenging but realistic goals; ensuring that employees are afforded training opportunities and providing resources that will enable the achievement of set targets as well as encouraging subordinates (Armstrong, 2002:222). Managers can also motivate employees by offering opportunities for rewards that have a high valence on employees (Armstrong, 2003:222).

Participants from both ministries were of the view that most employees wanted to be rewarded financially rather than through other rewards such as certificates. Their argument was that government salaries were low and government should try and reward them with monetary rewards. This view is supported by the expectancy theory and if employees expected to be given monetary rewards for good performance, they would be motivated to improve performance.

During focus group discussions in the local government ministry, participants revealed that there were concerns during the “excellence day” on the criteria that was used to select some beneficiaries of rewards because the perceptions among colleagues were that these were not the best performers in the departments. An example was given of an individual who was given an award and yet the individual is known for not attending workshops or leaves during workshops to attend to personal issues. A participant from the local government ministry had this to say:

The criteria used to select best performers in the department should be made public so that employees become aware of how selection is done.

Armstrong (2015:15) argues that ethical considerations are important in the implementation of performance management and the procedures that are used should be fair and should incorporate principles of procedural justice. Procedures should be free from bias and a strong body of evidence has been gathered showing that employees value fairness and will respect and accept outcomes that are perceived to be fair even when the outcomes are less desirable (Armstrong, 2015: 16).

The other issue was that PBRS had not been effective in motivating employees because of the absence of monetary rewards. It was the view of the participants that the initiative was implemented without allocation of resources and employees were not happy about the lack of rewards promised at its inception. When employees complete PDPs they would ask when they would be rewarded because they had not heard of colleagues who had been rewarded as a result of PDP reviews. Brown (2005:472) argues that the linking of pay to performance should be carefully done because it could be divisive, demotivating and unfairly implemented. If performance pay is not carefully implemented, it may be limited to a few performing individuals leaving out non – performers in salary increases and creating animosity among colleagues (Brown, 2005:472).

Organisations may also offer non- financial rewards to employees in the form of recognition, provision of opportunities to succeed, development of skills as well as career planning and enhancement of job engagement and commitment (Armstrong, 2009:250). Participants were however, clear on the issue of non – financial rewards and said that most employees in the two ministries did not value non – financial rewards. Their perception was that if the ministries wanted employees to be motivated, financial rewards should be introduced.

The achievement of employees can be recognized through performance management where individuals are given feedback on their good performance. Employees who have performed well can be thanked formally or informally and be encouraged to take advantage of the performance feedback opportunity (Armstrong, 2009: 250).

Performance management offers employees an opportunity to achieve through developmental activities. The performance reviews offer employees an opportunity to plan their careers through discussions with supervisors. Performance reviews enable employees to improve their skills through coaching from supervisors and support which results in learning how to perform tasks (Armstrong, 2009:251). When employees are interested in what they do they become engaged. Performance management motivates employees intrinsically through factors such as taking responsibility for job outcomes, job satisfaction, achievement and fulfilment of one's goals and objectives (Armstrong, 2009:251). Employee commitment to the organisation is also enhanced through the use of performance management.

Performance management can then be said to have various non - financial rewards besides the financial ones. It is up to management to ensure that employees benefit from non – financial rewards if there are no financial rewards to support the implementation of performance management. What could be critical is to make sure that employees value the non – financial rewards in order for them to be motivated.

3.11.9 Negative impact on implementing performance management

Participants from both ministries were of the view that there were challenges in the implementation of performance management. Resisting performance management was one of the main challenges confronting both ministries. Employee perceptions on performance management were negative in that they were not consulted at the initial stage of its inception. Antony and Ogden (2009:489) observed that in most cases senior officials and politicians exclude the general public from consultations because of the time it would take to do so and the uncertainty of whether they would accept the implementation of performance management. As a result of lack of consultation, implementation may lack legitimacy, buy – in and commitment of those who are to implement it (de Waal & Counet, 2009:369). Implementers may also view performance management as something that is outside the scope of their jobs because of lack of involvement from the initial stages (de Waal & Counet, 2009:369). One of the participants from the ministry of education had this to say:

Reports that we get from schools are that this is a ministry initiative and it has nothing to do with teachers and this is why at its inception teachers were not consulted.

Participants of the study were of the view that the reform is viewed as a burden and its value in improving performance is not appreciated. This is worsened by the negative perceptions by management teams in different departments and schools who are supposed to be the drivers of implementation for improvement of performance. There was a general reluctance to implement performance management because of the fear of performance appraisals. Supervisors were not willing to appraise subordinates and subordinates on the other hand did not want to be appraised and that derails implementation (Ford, 2004:551; Norris & Kushner, 2007:9). Subordinates may view appraisals as a way of trying to reward those employees who are favoured by management and punish those who are less favoured (O'Donnell, 2005:622). Lack of trust and credibility by

subordinates may hinder the implementation of performance management (Dahlstrom & Lapuente, 2009:6).

The participants from the education ministry were of the view that some teachers did not perceive that managers would carry out appraisals in good faith. The lack of trust created challenges for managers to carry out their appraisal duties. The participants saw this as a stumbling block and suggested that there was a need for training of both managers and subordinates so that there could be trust between the parties. A participant from the ministry of education gave an example of situations where some teachers would come to headquarters requesting for transfers because they perceived their supervisors to be unfair when conducting appraisals. Another participant from the ministry of education had this to say:

School managers need training to ensure that there is fairness in the exercise and this would enhance the credibility of the exercise.

It was the view of the participants that both ministries need to spend money and go to all regions to try and change the mind – set of employees because if that is not done implementation challenges are likely to continue. Armstrong (2015:26) agrees that the implementation of performance management is not easy and makes reference to Keith Grint (1993) who asserted that it was not common in the history of business for a system to promise so much but deliver so little. Challenges in the implementation of performance management include skills and attitudes of managers to conduct effective performance reviews and the complexity of the paperwork involved (Armstrong, 2015:26).

Challenges on the implementation of performance management in the public sector in Botswana include entrenched paradigms, mind-set as well as work ethics that resulted in some heads of departments and other high ranking officials not supporting the implementing of performance management in the public sector (Dzimbiri, 2008:53; Institute of Development Management Consortium, 2006:42; Bashe & Jongman, 2006: 26). Employees felt uneasy about the concept of performance management because it introduced new concepts, systems and processes of doing things in the public sector (Bashe & Jongman, 2006: 32; Dzimbiri, 2008: 53). The new system brought confusion into the public service and it was rather difficult for employees to see how performance management would be related to other performance improvement programmes that

were in existence (Bashe & Jongman, 2006:31; Institute of Development Management Consortium, 2006:41).

Participants were of the view that employees who had been employed in the public service for a long time were not comfortable with changes. Such employees preferred processes and systems that they were used to and generally had negative perceptions with innovations because they had to change and use new processes leaving the ones they had become accustomed to for many years. According to the participants resistance to change was generally associated with employees who had been in the system for a long time.

The implementation of performance management in the public sector in Botswana lacked the necessary experience and expertise of managing a change of the magnitude of such a reform that affected the whole public sector (Bashe & Jongman, 2006:29; Dzimbiri, 2008:53). The other challenge was that the public service did not have adequate officials who could implement performance management effectively (Bashe & Jongman, 2006:30).

In an evaluation of the implementation, effectiveness and relevance of performance management in the public sector in Botswana conducted by the Institute of Development Management in 2004, the following positives were observed (Mothusi, 2008: 44): implementation was at the maturation stage; some officers in key public service positions supported the performance management philosophy; the culture of strategic planning was taking shape; there was appreciation of the importance of performance management processes such as performance plans, measurement and monitoring and orientation towards improved customer service. The introduction of performance reviews had increased employee accountability; performance targets and measures had been introduced and there was general improvement of work performance (Nyamunga, 2006:2; Institute of Development Management Consortium, 2006:12).

Most participants of the study were of the view that challenges faced by the two ministries were not impossible to overcome but more effort was needed to change the perceptions of employees. The participants perceived the issue of rewards as crucial if implementation was to succeed. Presently most employees seemed to lack motivation to improve performance and if rewards were introduced, they would motivate employees to improve performance.

The evaluation by the Institute of Development Management also identified several challenges including the following: lack of alignment of performance management with national development plan and budget; lack of a link between strategic plans, national development plan and vision 2016; too much documentation for performance reporting and review; lack of adapting performance management system to suit the unique needs of the ministry and lack of rewards both financial and non-financial for good performers (Institute of Development Management Consortium, 2006:12).

The participants in the study were of the view that employees still preferred doing things the old way and there was lack of buy-in for performance management. Employees who had worked in the ministries for years preferred the ways in which they had been doing things and they did not think the changes were necessary. The other challenge that was raised during focus group discussions is that when regional managers have meetings to discuss about implementation challenges, they do not inform school heads or managers of departments about issues discussed in these meetings. One of the participants had this to say:

When the directors and managers get back to their stations, there is no feedback to the employees.

The participants used the phrase its “business as usual” referring to the behaviour of directors when they come from these meetings implying that managers and school heads do not get any feedback so that they become aware of the plans of their ministry. Reports of progress in the regions also delay to be sent to headquarters and this negatively affects implementation. There is lack of consultation between schools and regions and schools and the ministry headquarters. In the ministry of local government the size of the districts is a challenge and headquarters hardly visits districts that are far. Communication with these districts is also a challenge because of lack of resources.

Performance development plans (PDPs) originate from the Directorate of Public Service Management (DPSM) and the format is said not to be suitable for teaching. Teachers say PDPs are for the private teachers and in the public service they may be suitable for officers in other ministries rather than teachers. The participants from the ministry of education were of the view that the changes that have been made on the forms are as a result of complaints from teachers

and school management teams. The changes were an attempt to try and make the PDPs relevant to teaching.

Participants from both ministries were of the view that employees in the two ministries find it difficult to complete the forms. Coming up with plans to be achieved was a challenge and some employees complained that they did not understand the forms because they felt the language used was rather technical.

Participants from the ministry of education revealed that they had received complaints from schools that the balanced score card was not an effective management tool in schools. The complaints related to the fact that the instrument was not suitable in measuring the core business of schools which is teaching and learning. Activities that are not core to the school business end up giving poor classroom performers high marks and this was not fair. The balanced score card was originally designed for the private sector and transferring it to the public sector as a managerial tool has not been easy for developing countries (De Waal, 2007:70). Participants cited the challenges faced by management teams to cascade the use of the instrument to subordinates and the feedback from management teams was that the instrument needed an expert to do the cascading.

The other challenge cited was associated with reviews. There is general lack of capacity to conduct reviews because of lack of training. In their view some managers and school heads assign marks without reviewing the performance of employees and this resulted in poor performers awarded high marks hence complaints about the criteria used to select high performers for purposes of rewarding them. The study by Koruyezu (2010: 52) revealed that performance reviews in schools were just on paper and not in practice because management teams did not have the requisite skills to conduct the exercise. Reasons for not conducting reviews were cited as lack of time management and planning by school heads and managers. The other reason was lack of how the reviews were to be conducted as a result of lack of training on the part of management teams. Mpabanga (2016:79) argues that poor implementation of performance management may be as a result of poor appraisal skills. Mayne (2007: 34) points that fundamental changes require time if significant changes in behaviour are to be realised; it takes years to get the act right; the integration of performance information into management requires perseverance and the whole process costs money. Armstrong (2015:23) points that

performance review meetings are important because they focus on agreement plane, feedback, assessment, positive reinforcement and dialogue. Some participants were of the view that some management teams did not want to make enemies with their subordinates by letting them know that they were failing to perform. Effective performance management implementation requires dedicated leadership over a period of time, effort and adequate resources (De Waal & Counet, 2009:368).

The implementation of performance management in the public service started in July 1999 and had a five year implementation plan ending 31 March 2004. In 2003 the ministries and departments realised that they would not be able to comply with the presidential directive for implementation which required teaching employees about performance management so that they could internalise concepts associated with the reform (Institute of Development Management Consortium, 2006:10). This resulted in rushed implementation which may have resulted in certain procedures and processes being compromised. The budget for the implementation and support of the programme was also inadequate (Bashe & Jongman, 2006:24; Dzimbiri, 2008:54).

The participants were of the view that right from its inception something had gone wrong with implementation and there has not been a deliberate attempt to correct the situation. The emphasis from the participants was that there should be an evaluation to find out what went wrong so that corrective measures can be implemented. Participants from the education ministry were of the view that the teachers' trade union should be a role player if such a measure is taken. One participant revealed that teachers had been unhappy for a long time and the public service had neglected their issues and teachers were now deliberately underperforming so that the public service could listen to issues that have been neglected for years. The participant was of the view that if parents complained of poor student results, the public service would listen to the pleas of teachers.

The implementation of complex programmes such as performance management involve fundamental changes in management procedures, values and norms and because they involve the whole public sector they will always be challenges resulting from multiple stakeholders that are involved (Mayne, 2007: 89; Brynard, 2010: 194; Moynihan, 2005:221). The situation can also be made worse by a lack of results – oriented culture and the implementation of performance management is likely to be viewed as interfering with the existing culture of not managing

performance (Mayne, 2007:92; de Waal, 2004:301). Moving to a performance oriented culture is not easy hence there will be challenges when employees question such a move because they were comfortable with the previous way of doing things and the public sector is generally slow in changing the behaviour or attitudes of employees because of the nature and political environment of the public sector (Mayne, 2007:91; Brudan, 2010:116).

The participants were of the view that change brings uncertainty to employees and there was a need for the ministries to take employees who had been in the system for a long time for training. It was not easy for these employees to abandon their old ways of performing tasks and adapt to processes and procedures of performance management. Training of managers and supervisors might assist individuals to embrace performance management practices.

Performance management has technical challenges such as design and implementation processes; evaluating and reviewing performance; devising rating and performance indicators; collection and interpretation of performance data as well as communicating the results to the employee (de Waal, 2003:689). Such challenges make it difficult to implement performance management effectively hence the need for thorough planning before introducing it. The implementation of performance management requires resources, time and effort and results might not immediately show resulting in programme implementation losing momentum and it is not easy for organisations to maintain momentum when there are no positive results (Mayne, 2007:94; de Waal & Counet, 2009: 368). It might be a challenge to convince people that in the end the organisation will benefit regardless of the initial costs. All these processes need training and without effective training the two ministries will continue to face challenges in implementing performance management. The participants were of the view that there was need for government to provide more resources for training purposes. They also raised the issue of training performance coordinators because most of them had not received formal training in performance management.

The other challenge that was revealed by the participants is laziness. They cited an example of reports coming very late from regions with no explanations on why there was a delay. The other example was the late payment of suppliers which has a standard payment period of ten days but suppliers can be paid after three months resulting in suppliers not keen to serve government departments because of late payments. Mothusi (2008: 16) argues that although effective and

efficient service is desired in the public service in Botswana, the view of most public servants is that the effort that they should put in their work should be commensurate with their salaries. An individual's work rate should be determined by the salary scale in which one finds themselves and one should not forget that they "cannot finish government work" and even the first president died and could not finish the work of the government (Mothusi, 2008:16). Such views from public service employees make people not have a sense of urgency and will deliberately take their time when performing tasks. Hope (2003:1) noted that the civil service had developed a culture of indifference and laziness leading to serious bottlenecks in the delivery of service. On the same sentiments Kaunda (2004:1) blamed implementation failure of public policies on low productivity and weak implementation capacity.

The participants of the study revealed that Friday was generally not a working day for senior officials in government ministries. The officials were supposed to be at work but most of them would use Friday to travel to their cattle posts or farms so that they had a full weekend at the cattle post. The common practice was that senior officials would not tell their juniors that they were leaving. Senior officials would hang their jackets on their chairs pretending that they were in the building. The jacket is meant to deceive junior officials that the senior person is around somewhere and yet the senior person would have left. The challenge was that if top management is absent junior officers would also abandon their work stations during the lunch break on a Friday and return on Monday morning and this negatively affected service delivery. The participants also revealed that thirty minutes before the end of the working day was devoted to "freshening- up" by women employees and customer service would come to a stand - still. This had a negative impact on service provision because customers who came to a department with thirty minutes before the end of the working day may not be served because the officer would be "freshening – up" before knocking off.

During focus group discussions participants from both ministries revealed that Monday mornings were generally not a working time as employees would be up – dating each other on the events of the previous weekend. Discussions would range from sport, parties, politics and personal experiences of the weekend. These activities greatly reduced the working week in the public sector in Botswana. The participants revealed that in each department there is a meeting place for the Monday morning discussions and these would last up to mid – morning or beyond

depending on the issues discussed on a particular Monday. The discussions were said to be very lively and it was not easy for employees to leave until all issues had been exhausted. This was perceived as part of the culture in the public service. It affects the provision of service negatively.

The performance of public employees should be guided by the public service mission statement. The mission statement says that the existence of the public service in Botswana is to provide efficient and cost effective services for customers through the implementation of performance improvement programmes to create an enabling environment for the provision of quality service (DPSM, 2004:3). Mothusi (2008:46) argues that the poor delivery of service in the public sector as well as the bureaucracy and delays may have resulted in lost business investment opportunities for the country and there was a need for Botswana to change and improve service delivery.

The participants from the local government ministry were of the view that there were many transfers in the ministry and it is difficult for management to make an impact on reforms before being transferred to a different region or station. New people who would replace those who would have left take time to settle and by the time they start making an impact, they are transferred. This had negatively affected the implementation of performance management in different departments in the ministry.

There was also lack of coordination within the ministry because of its size. Presently it had eleven departments and coordination proved to be a challenge. The other issue was that regions reported directly at headquarters and this was a challenge because of shortage of resources such as transport. Employees in district offices had not been afforded adequate administrative authority to make strategic decisions and had to rely on central government to make decisions on their behalf and this affected service delivery (Moruakgomo, 2013:4). Implementation had remained a challenge because the public sector operated in “silos” resulting in failure to service communities timely or come up with effective interventions as a response to specific community needs (Moruakgomo, 2013:4). This had resulted in situations where local communities felt that local authorities did not respond to specific local challenges but rather used the “one size fits all” idea which would have come from central government and might not be suitable for a particular local situation.

The participants were of the view that lack of training for performance management coordinators in the local government was a challenge. The participants were of the view that management wanted performance coordinators to perform especially during workshops where they were supposed to be experts in performance management and yet they lacked training. One of the participants had this to say:

I try by all means to avoid workshops because of my limited knowledge in performance management although this is part of my job description. I lack training and I do not feel confident to conduct a workshop.

Some participants were of the view that workshops on performance management were not well attended because of the negative perceptions that employees had on performance management. The participants suggested that there was need to employ more coordinators who would spend most of their time visiting districts to conduct workshops. This could assist in changing the mind – set of employees.

3.12 RECOMMENDATIONS FOR SUCCESSFUL IMPLEMENTATION OF PERFORMANCE MANAGEMENT

Participants were of the view that several issues should be addressed if implementation of performance management was to be effective in the two ministries. In their view, there was a big gap between the initiator and the implementer. Those who initiate should consult implementers so that the implementers feel that they own what they are implementing and they would try to make implementation succeed. The perception that reforms are just imposed on them would disappear. One participant from the local government ministry had this to say:

Presently performance management is perceived as belonging to top – officials in the ministry and managers sometimes tell us that they were still waiting for those who initiated the idea to come to the stations and sell the idea to the employees.

There is need to change the mind – set of implementers of performance management so that they view it as a tool that is there to assist them improve performance rather than perceiving it as a burden as is the case presently. There is need for government to set aside funds for this purpose so that officials can move around the country conducting workshops and explaining the benefits of performance management so that employees can understand it and appreciate it as a reform

that is there to improve performance which should be the goal of every government employee. Botlhale (2015:18) recommends a need for public sector employees to change their attitudes towards the implementation of innovations in the sector. Botlhale (2015:18) argues that regardless of the skills that an individual may have in doing their work, it is the soft skills that matter most and it is critical for public sector employees to have an open mind towards change. Public service employees have for a long time not been used to be held accountable for their performance and they should change that attitude and embrace the changes that will result in performance improvement (Botlhale, 2015:18). The culture of non – accountability for performance has been in the Botswana public service for a long time and change should come from within and employees should not feel that it is being imposed on them (Botlhale, 2015: 18). This can be made possible by changes in the attitudes of employees.

The issue of accountability was perceived as a challenge by participants. They were of the view that employees needed to be trained to value accountability. Performance management encouraged accountability and participants were of the view that public sector employees were used to a system where accountability was never an issue hence the negative perceptions on the innovation where they now had to be accountable for their performance. Training was therefore necessary to overcome some of these challenges.

The perception that no one can finish government work would also be addressed during workshops. The workshops would also cover the performance review processes so that management teams can understand how performance can improve through effective reviews. The issue of a shared vision for buy – in is important and the need to develop a national vision on innovation will not result in employees branding performance management a “government thing” because they will be part of the innovation (Botlhale, 2015:19). Armstrong (2015:28) views the behaviour of managers as important in the implementation of performance management because their behaviour influences how it will actually be implemented. Haines and St – Onge (2012: 33) recommend the following for performance management to be successful:

- training and coaching in performance management as well as the provision of constructive feedback
- the recognition of employees should be prioritised
- there should be engagement with the corporate culture values

- integration between performance management, human resource management and business plan of the organisation
- human capital should be valued
- the presence of an enabling employee relations environment

The participants of the study were of the view that monitoring should also be a continuous exercise to enable causes of performance challenges to be identified and addressed. It was their view that non- performers should be identified and remedial action taken so that performance can improve. Regional offices can assist in monitoring because of their proximity to implementers hence the need to give powers to regional offices to be able to take action where necessary. Reports from schools or departments could be sent to regions for action as a way of decentralizing rather than sending them to headquarters. One participant revealed that presently the recommendation on poor performers was that they should be helped but it was rare for any poor performer to be helped. The participant had this to say:

In most cases the supervisor would not specify or identify the help that should be given to the employee and I doubt if these individuals get the help they are supposed to get.

The participant was of the view that headquarters should make a follow – up to find out if these employees were actually given the assistance they needed to improve performance. Participants also recommended the training of management teams with regard to objective appraisal of subordinates. Their view was that if appraisals were objectively done, subordinates would value them. If good performers were given rewards and subordinates viewed the process as fair, they would also try and improve performance and be rewarded.

Participants were also of the view that there was need to evaluate performance management initiatives to enable top officials to see if the initiatives were achieving the intended results and where challenges were identified, they would then be addressed. Where there was need to adjust, that could be done by analysing the results of the evaluations. Armstrong (2015: 29) recognises the following principles as important for the public sector when designing a performance management system:

- Objectives at the beginning of the year should be stretching.

- Employees are aware of the competencies and behaviours that will make them succeed in their roles.
- Reviews and discussions are held throughout the year between employees and managers to discuss progress.
- Formal meeting at the end of the year to discuss achievement of objectives.

The issue of rewards was also brought up by the participants. Their view was that if PBRS was accompanied by monetary rewards, employees would improve performance because of the expected rewards. If there were rewards, this would show subordinates how serious the departments were on the issue of performance improvement. It would also send a strong message to employees that management was supporting the innovation.

The implementation of performance management has been successful in countries where the programme was internally driven and adequately funded; where effective implementation had been government top priority; where adequate resources had been allocated; where there was continuous training of leadership and subordinates and where commitment from political and administrative officials had been unquestionable (Nyamunga, 2006:18; Dzimbiri, 2008:55). Botswana has been found wanting in some of these issues and the implementation of performance management has not achieved the intended results. Participants were of the view that these issues should be addressed to ensure successful implementation of performance management.

Armstrong (2015:24) recommends that when designing a performance management system, it is important to keep it simple because if it is over – elaborate managers may find it challenging to follow the procedures. The performance management activities for the year can be summarised as follows (Armstrong, 2015: 18):

Table 3.5: Performance management activities

Start of year	Performance agreements	• Defining roles for individual employees • Ensuring roles link with key result areas and required competencies • Definition of goals and standards of performance • Identification of key performance indicators • Preparation of development plans
Communication continues between the two parties	Continuation of managing performance	• Reviews take place to monitor progress • Feedback is provided • Coaching is provided where necessary • Updating of role profile and objectives if necessary •
End of year	Review of performance for the year	• Achievements are analysed against set objectives • Strengths and weaknesses are identified from the evidence • Assessment of overall performance • Provision of feedback • Evidence from review to be used as performance and development agreements for the following year

Source: Armstrong (2015:18).

The participants were of the view that there was need to simplify the process especially the PDPs. The forms were a challenge for employees to complete and the participants recommended the need for simplifying the forms without necessarily diluting the requirements of the contents. If forms were easy to complete, the time taken to complete them would be reduced and employees can spend more time doing their tasks.

3.13 CHAPTER SUMMARY

This chapter discussed the impact of performance management on the performance of employees from a global to the local perspective. The chapter used both literature and the qualitative method to look at how performance management impacts on the performance of employees. The chapter first defined the concept of performance management as processes that are implemented by managers to achieve optimum performance. The process of performance management and what it entails were briefly described.

The chapter went on to identify stages in the development of performance management and they were as follows: identification of mission, goals and objectives; formulation of departmental and individual objectives; signing of performance agreement; performance and development plan; performance of tasks; monitoring and feedback; and formal review. The relationship between performance management and employee performance was then explored and the relationship is motivated by the need to improve employee performance.

The chapter then explored the impact of performance management globally and its impact was examined in the United Kingdom, United States of America and Malaysia. The conclusion was that these countries had implemented performance management successfully and employee performance had improved in the public sectors of these countries as a result of the impact of performance management. However, it should be noted that performance improvement in these countries did not result right from the time of implementation. There were some challenges at first but eventually public sector organisations started delivering quality service.

In Africa, the chapter examined the impact of performance management in Kenya and at first the country had challenges in the implementation of the reform. As a result of performance management, literature says that there has been an improvement in public sector service delivery and work ethics had also changed as a result of the reform.

The chapter then went on to examine the impact in Botswana using findings from interviews from employees of the two ministries and available literature. The perceptions that employees had on performance management were said to be negative and the innovation was perceived as a burden because of the amount of paperwork involved in the implementation process. The participants in the study were of the view that performance management had not improved

performance among employees because of the negative perceptions they had and those in positions of management had a negative attitude toward the reform because of the process involved in the implementation. Their view was that performance management should however have an impact on the performance of employees because of the presence of the following in the process: a mission and vision; strategic planning; performance measurement; reporting of performance and the availability of funds as well as the budget for the implementation of strategic plans. Reviews on the performance of employees should also have an impact on their performance because of the continuous monitoring, guidance, coaching and of employees by supervisors.

Teachers did not believe that the innovation was suitable for teaching and were of the view that it took a lot of their time and distracted them from the actual teaching. The argument put forward by the teachers was that the performance of schools was based on the results of learners and performance management activities were taking away teaching time which would make schools improve performance. School managers seemed to support the views of teachers.

Lack of support for new performance management initiatives by management was said to result from lack of communication resulting in managers perceiving initiatives as having been imposed on them by headquarters. Communication challenges were a result of the cascading model used by both ministries in disseminating information on new initiatives and this had proved to be rather ineffective.

The ministries were said to be innovative in performance management although views varied on the originality of initiatives. Some participants were of the view that if the originality of the initiative was not an issue, then the public sector was innovative. However, if the originality of the initiative mattered, then it would be difficult to say that the public sector was innovative in performance management.

Motivation for employees in the two ministries included financial and non – financial rewards. The ministries did not link pay to performance. Even the performance based reward system (PBRs) had not materialised because of lack of funds and this was said to demotivate employees. This resulted in some employees questioning the purpose of completing PDPs when there was no link between pay and performance.

Challenges confronting the two ministries in implementing performance management included the following: negative perceptions about the reform; fear of performance appraisals; negative work ethics; completion of performance development plans; resistance to change; conducting reviews; laziness and lack of training on the implementation of performance management.

Recommendations made included the following: bridging the gap between initiators and implementers; changing the attitudes of employees through training; continuous monitoring of employee performance and evaluation of initiatives to see if they have a positive impact on performance and the rewarding good performers.

CHAPTER FOUR

CHALLENGES CONFRONTING THE MINISTRY OF EDUCATION AND SKILLS DEVELOPMENT IN PERFORMANCE MANAGEMENT IN BOTSWANA

4.1 INTRODUCTION

Criticism has been levelled against the ineffectiveness of performance management in the public sector in Botswana because of its failure to improve employee performance without considering the challenges faced by the different ministries in implementing performance management (Dzimbiri, 2008: 55; Marobela, 2008: 426). Literature demonstrates that the implementation of performance management does not necessarily lead to improved performance if barriers to effective implementation have not been addressed (Andrews, 2014:9). Various necessities should be addressed when implementing performance management in the public sector including the involvement of stakeholders; leadership skills and capacity; employee inclusion; management commitment and support; a culture that supports innovation; clear goals and system maturity (Andrews, 2014:9). If these issues are not addressed before implementation, challenges emerge during the process and employee performance may not improve rendering implementation as ineffective.

The concept of innovative performance management in the public sector in Botswana is still poorly explored and generally misunderstood (Skelemani, 2007:8). This implies that the effectiveness of performance management in the public sector in Botswana often omits or does not consider if the sector is still implementing traditional performance management or has moved on to innovative performance management. If traditional performance management is still being implemented, is it best practice and why have other countries moved on to innovative performance management?

It is therefore important to note that for implementation of performance management to be effective, certain barriers for effective implementation have to be identified and removed (Andrews, 2014:9). If traditional performance management is still practiced in the public sector in Botswana, would it still improve employee performance given the fact that it is no longer best practice (Skelemani, 2007:7)? If traditional performance management is still practiced and barriers that inhibit effective implementation were not addressed from the initial stages there are

bound to be implementation challenges (Andrews, 2014:9). Firstly, when implementing performance management all stakeholders should be involved so that they feel they were part of the innovation (Bulawa, 2011:36). Secondly, the skills and capacity of leaders or management should be considered because they are responsible for driving successful implementation (Andrews, 2014:9). Thirdly, the inclusion of employees as implementers of the innovation as well as the commitment and support of management to the innovation is crucial for successful implementation (Andrews, 2014:9). Fourthly, for implementation to be successful, the presence of a culture that supports innovation is important. Fifthly, the goals of the innovation should be clear and the system should be mature enough to enable successful implementation (Andrews, 2014:9).

In light of the above, the main purpose of this chapter is to explore if the conditions necessary for successful implementation were addressed before performance management was introduced in the ministry of education to minimise challenges and if not what are the challenges faced by the ministry in implementing performance management for improved employee performance. The specific objectives are to:

- establish conditions necessary for successful implementation of performance management
- determine if performance management is working in the ministry of education
- assess challenges confronting the ministry of education in implementing performance management
- illustrate the important link between conditions for successful implementation and improved employee performance

The overall aim of the chapter is to create a better understanding of issues that should be addressed in the ministry when an attempt is made to introduce an innovation such as performance management. An understanding of barriers that should be addressed would assist policy designers in implementing innovations that will yield the expected results (Andrews, 2014:10).

4.2 CONCEPTUALISING CONDITIONS NECESSARY FOR SUCCESSFUL IMPLEMENTATION

4.2.1 Stakeholder involvement

The development of performance management may be driven by top management as part of an attempt to change the culture of an organisation (Armstrong, 2009:36). While this may work, it is important for top management to see that all stakeholders are involved (Armstrong, 2009:36). The development and introduction of performance management and its processes will vary from organisation to organisation. In knowledge based organisations processes may be different from a manufacturing organisation and the way in which objectives are agreed may be different (Armstrong, 2009:36). It is important for an organisation to ensure that all stakeholders are involved when performance management is introduced so that everyone feels they are part of the innovation. Views of all stakeholders should be considered in order to remove obstacles that may hinder successful implementation.

4.2.2 Leadership skills and capacity

Implementation of performance management requires managers to have the requisite skills and if they lack some skills, these have to be developed. This could be done when launching a new programme or during induction for new managers (Armstrong, 2008: 275). Guidance and coaching for new managers is important to supplement management training they have gone through. It is important to monitor the performance of managers as they manage performance management and where they lack certain skills, the organisation can address the shortcomings.

For performance management to be implemented effectively there is need for managers to be competent (Armstrong, 2009:275). If managers are not competent with the behaviours required for their role, they may find it difficult to manage employee performance. Previously managers would rely on the tick box approach and the perception was that there was no need for a detailed discussion on the performance of an employee but with innovative performance management the discussion is now more important hence the need for managers to have the relevant skills (Armstrong, 2009: 275). Before the implementation of performance management, there is need to ensure that managers have the skills for successful implementation. New models in performance management require managers to be comfortable with the activities without the use of the tick

box approach (Armstrong, 2009:275). Effective leadership skills are therefore a prerequisite for successful implementation of performance management.

4.2.3 Employee inclusion

Performance management is important in an organisation because it creates performance driven behaviour in employees leading to the achievement of organisational objectives (Arakal & Mampilly, 2015: 3369). Performance management can be perceived as a way of getting superior results from teams and individuals through managing performance (Arakal & Mampilly, 2015: 3369). The contribution of each employee is therefore valued by management.

Each employee is perceived as an exclusive human being and their involvement in the achievement of organisational goals is highly valued (Dyer & Chu, 2000: 286). Employee involvement assumes the inclusion of employees in organisational activities, processes and other cross functional activities (Holt, 2002: 203). Employee involvement would entail participation; influence sharing; knowledge; participative decision making; power; the degree of employee involvement; consultation; and empowerment (Lawler, 2003:397; Colquitt, Scott & LePine, 2007: 910). Employee inclusion results in trust between employees and leaders and it has an influence in job satisfaction; organisational commitment; individual and team performance; counter - productive behaviours and the generation of innovative ideas (Colquitt et al., 2007:910; Flaherty & Pappas, 2000: 272). For performance management to be effective, employee involvement and inclusion is important (Colquitt et al., 2007:910).

4.2.4 Management commitment and support

Management commitment is crucial in implementing performance management. Some managers believe that they should not conform to a system that is imposed on them by top officials or the human resource department (Armstrong, 2009: 273). There are managers who are reluctant to conduct performance reviews believing that they would be faced by unpleasant confrontations or may not be confident about reviews because of lack of skills (Armstrong, 2009:273).

Gaining the commitment of line managers may take a while, effort and persistence but it is necessary if implementation is to be successful (Bussin, 2013: 74). Top management has to communicate effectively with line management and let them believe that performance management is an integral part of the management of an organisation (Armstrong, 2009: 273).

Top management should let line managers know that this is what good management is about so that line managers become committed. Line managers should be made to understand that managing performance is part of their responsibilities and one of the important activities of a manager (Armstrong, 2009:273). Managers will not perceive it as a bureaucratic chore. They should be made to understand that performance management is not an activity for completing forms but that what is important is the dialogue between the manager and the employee and this should be continuous (Armstrong, 2009:274). If it is done this way managers will find it simple and they will be committed to the activity.

4.2.5 A culture that supports innovation

Organisational culture has many definitions as evidenced by the different definitions in literature (Mullins, 2005: 15; Schneider, 2000: 24; Hofstede, 2001:23). There is general consensus however, that the definition of organisational culture should include shared values and assumptions and that it is evident in the practices of the organisation (Ankrah et al., 2004:730). Organisational culture attempts to explain issues such as behaviour, beliefs, norms and myths of an organisation (Low & Shi, 2001: 269).

Innovative performance management can be successfully implemented in an organisation whose culture supports innovation. Innovation can be perceived as the ability of an organisation to continuously seek new and better systems, processes, services, internal cultures and methods within the organisation and these could be either managerial or administrative (Boer & During, 2001:12). An organisational culture that supports innovation would always embrace new ideas and ways of performing tasks and managing change effectively would become part of the culture of the organisation. Innovative performance management would be effectively implemented in such an organisation.

4.2.6 Clear goals and system maturity

For performance management implementation to be successful there is need to have clear goals of what the organisation hopes to achieve. Organisational performance systems should be strategic and aligned to the strategy of the organisation to enable the achievement of strategic goals of the organisation (Armstrong, 2009:222). There should be a deliberate focus on developing work systems, working environment and individual employees for performance management to be successful (Armstrong, 2009:222).

For systems to be developed and function effectively, it is important for employees to understand the strategy of the organisation hence the need for goals to be clear (Armstrong, 2009:222). Employees need to understand how specific improvements will result in desired outcomes (Armstrong, 2009:222). Employees should be able to understand strategy maps and how they provide a route map for the improvement of systems leading to the improvement of performance (Armstrong, 2009:222). They also direct employees with a clear line of sight on how their tasks are linked to the objectives of the organisation (Armstrong, 2009:222). They also provide employees with a visual representation of the critical objectives of the organisation and the relationships between them (Armstrong, 2009: 222). When employees have a clear picture of the goals and systems, it becomes easier for performance management to be implemented successfully.

4.3 RESEARCH METHODS

The study used the qualitative method to collect data through interviews with 40 participants from the ministry of education. Five of the participants made up the focus group. The interview questions on challenges confronting the ministry in the implementation of performance management focused on (a) human challenges in the implementation of performance management (b) structural challenges (c) resource challenges (d) motivational challenges and (e) how implementation had been affected negatively.

Information and insights on the challenges confronting the ministry of education in implementing performance management were drawn from secondary sources such as Mahapa, Dzimbiri and Maphosa (2015); Dzimbiri (2008); Bulawa (2013) and Bulawa (2011).

4.4 RESULTS AND DISCUSSION

4.4.1 Implementation of reforms in the Ministry of Education and Skills Development in Botswana

Botswana has implemented various reforms in the education ministry in an attempt to improve learning and teaching as well as the management of schools. The reforms include those related to performance namely the annual confidential report, job evaluation for teachers and the teacher performance appraisal scheme as well as those related to management namely the secondary schools management development project and the pastoral care system.

The confidential reports reform was introduced in secondary schools in 1983 and school heads were to prepare confidential reports for teachers and the reports were sent to the director of the Unified Teaching Service (UTS) (Monyatsi, Steyn & Kamper, 2006: 219). The participants of the study revealed that this reform did not improve performance because the perception among teachers was that it was a procedural report that was not linked to salary increment.

In 1998, the ministry introduced the job evaluation for teachers which was the assessment of the performance of teachers and it was used for promotion and salary increment purposes (Monyatsi, Steyn & Kamper, 2006: 219). Its contents included the teacher's job description and responsibilities. The information was useful in allocating the teachers a salary grade and when considering teachers for promotion (Monyatsi et al., 2006: 219). Teachers were opposed to these reforms and they were involved in industrial action demanding the ministry to discontinue with the reforms of linking salary increment to assessment (Monyatsi, 2009:189). The reforms were eventually abandoned. The participants were of the view that the teachers resented accountability hence there was industrial action that resulted in the discontinuance of the reform. A participant from the ministry revealed that the issue of poor performance had been in schools for quite some time and this is why parents who were financially stable would send their children to Zimbabwe for better education. The participant had this to say:

Some of us were sent to boarding schools in Zimbabwe for better education because public schools in Botswana were associated with poor results.

In 1992 the teacher performance appraisal scheme for assessing teachers and linked to pay and promotion was introduced (Monyatsi, 2002:56). The other purpose of the appraisal scheme was to assist teachers to develop professionally. The appraisal scheme was eventually modified and its ideas included in the PMS (Monyatsi et al., 2006: 220). The participants revealed that this was an attempt by the ministry to try and motivate teachers because parents were complaining about the quality of teaching and learning in public schools. A participant said the issue of free education could have contributed to poor results because learners would stay at school for as long as they wanted since parents did not pay tuition fees. The participants were of the view that in the 1990s as long as one had attended secondary school there was assurance of a job regardless of one's attainment grades because the school drop – out rate was high and

qualifications were not as important as they were in the present day. The pressure on teachers to perform was not as high as it is today.

The performance reward system (PBRs) was also introduced but its contents were merged with the PMS. The PBRs did not link performance to pay but did indicate that employees would be rewarded without specifying the type of rewards (Republic of Botswana, 2003:3). The participants were of the view that teachers expected monetary rewards and they were not motivated when high performers were not rewarded with money. The participants were of the view that the ministry had promised rewards and backtracked on its promise and this demotivated teachers.

In 1993, the secondary schools management development project was introduced and its aim was to improve the standard of management in secondary schools. School heads and other school management members were trained and it was hoped that they in turn would conduct effective staff development sessions at school level (Monyatsi, 2005:357). The participants were of the view that the implementation of this reform should have given the ministry an idea that the top – down approach was not effective. The participants revealed that regardless of the training that was given to school heads, it was a challenge for them to train other management members at school level. The challenge was that most of the school managers were certificate and diploma holders and it was not easy for them to disseminate the information they would have got from a workshop. One participant narrated a situation where the school manager would request other staff members to depend on the handouts because the manager would not have understood the information discussed at a workshop.

The pastoral care system was introduced in 2000 and schools were divided into houses with each having a head of house comprising of teaching and non – teaching staff. Each house had a student population of between 350 and 400 learners. Students were given opportunities to be represented in various school committees (Republic of Botswana, 2007:6). The pastoral system focused on the academic performance of learners, improvement of learner discipline, leadership and management (Republic of Botswana, 2007:6). The reform is still running in schools concurrently with PMS. The participants were of the opinion that the reform had little to offer in performance improvement but seemed to be more focused on student discipline which was a

challenge in government schools. The reform assisted teachers to discipline learners with the assistance of non – teaching staff who would represent parents.

4.4.2 The rationale for PMS

Performance management systems are a reform designed to improve the performance of individuals resulting in effectiveness and efficiency (Storey, 2002:202). Performance management should be viewed as an attempt by an organisation to motivate employees so that they increase their performance and assist the organisation in achieving its goals (Ellis & Chinedu, 2011:47). Performance management assists employees to focus on their work and in turn assist the organisation to achieve its mission (Ying, 2012:4).

The participants were of the view that there was justification for the introduction of performance management in the ministry of education in Botswana because of the high failure rate of learners at both form three and form five levels. However its introduction was not positively perceived by teachers because they thought the low pass rate had nothing to do with teachers but with the learners.

Performance management uses performance goal measurement, feedback and recognition to motivate employees to perform to their maximum (Ellis & Chinedu, 2011:47). It attempts to increase the commitment of employees so that they improve their performance. Public sector organisations that seek to improve service provision have imported performance management from the private sector and introduced it in the public sector.

An effective performance management programme should have the following outcomes (Pulakos, 2004: 1):

- Clarify employee job responsibilities and what is expected from them.
- Increase individual employee and team performance.
- Develop the capabilities of employees to their maximum through feedback and coaching of employees.
- Shaping employee behaviour so that it is aligned to the organisation's core values, goals and strategy.
- Assist management on decision making in relation to performance – based rewards.

- Improvement of communication between subordinates and managers.

Participants were of the view that if well implemented performance management would overcome the challenge confronting the ministry. Performance management made teachers accountable for the performance of learners. It also assists teachers to identify performance challenges so that they can work on them and improve performance. All the participants perceived the rationale of introducing performance management in the ministry as a positive move by the public service.

4.4.3 The rationale for introducing performance management in the public sector in Botswana

The introduction of performance management in the public sector in Botswana was to respond to the new realities and challenges the country faces in the twenty-first century (Sisa, 2014: 196). Performance management was viewed as a strategy that could assist the country achieve its aspirations (Vision 2016) on national development (Bashe & Jongman, 2006: 23; Washington & Hacker, 2009: 1; Kiragu & Mutahaba, 2006:8). Hacker and Washington (2004:55) who were involved in the design as well as the implementation of PMS in Botswana from its inception noted that the reform aimed to provide systematic thinking to implementation. Government perceived the implementation of PMS as a way of assisting public sector organisations to inculcate a culture of performance resulting in the achievement of set objectives and generally increase productivity (Republic of Botswana, 2006:4).

Participants were of the view that introducing performance management in the public sector was justified because of the poor work ethic that public employees had. One participant revealed that the public sector environment was perceived as safe and that one's performance was never an issue. The negative perceptions on performance management were partly because of the demands of the system that required employees to perform. One participant had this to say:

Drivers would spend up to two weeks in the ministry without doing any work if there was no trip and they would boast about that. Performance management changed all that and the driver has to be accountable.

For the ministry of education PMS was linked to vision 2016 in that the goals of the vision included building an informed and educated nation as well as a prosperous, productive and

innovative nation (Dzimhiri, 2008:54). It was also introduced to lead the change process that would restore public confidence in the country's public service (Marobela, 2008:426; Hope, 2003: 311). Performance management was viewed as a tool that would promote continuous improvement and deliver quality service that was demanded by customers as well as making the public service more creative, innovative and competitive (Sisa, 2014: 197; Hope, 2003: 310). It was also meant to change the mind-set of civil servants resulting in a new work culture that would fulfil the expectations of customers.

Performance management was to address international competition as a result of globalization and the improvement of communication technologies. It was meant to give Botswana a competitive advantage over other developing countries through an effective and efficient public sector and this was viewed as a critical success factor in global competition (Hope 2003: 310).

Botswana was aware of the successes of performance management in the public sectors of the Organisation for Economic Co – operation and Development (OECD) countries such as Australia, the United Kingdom, the United States as well as Canada (Bashe & Jongman, 2006:29; Adamolekun, 2005:5). Countries such as Singapore and Malaysia were said to have implemented successful models of performance management and this also influenced Botswana to adopt performance management (Sisa, 2014:198).

Botswana sought assistance from the World Bank to find out what could be done to improve service delivery (Mpabanga, 2016:69; Bulawa, 2011:34). A World Bank consultancy recommended the introduction of performance management as a way of addressing these challenges. The recommendations of the World Bank were adopted and in 1999 performance management was introduced in the public sector (Bulawa, 2011:34). The success of performance management in other countries such as New Zealand as well as the United States Federal Government including the United States Postal Services encouraged the government to adopt it (Mpabanga, 2016:70; Bulawa, 2011:34; Sisa, 2014:199; Kiragu & Mutahaba, 2006:14). Performance management was viewed as the answer to improve and sustain productivity in the public sector. The creation of a national vision which was named Vision 2016 also made government adopt performance management in the hope that productivity would improve leading to the success of the national vision (Bulawa, 2011: 35).

Performance improvement programmes that had been introduced previously in the public service were fragmented and not system wide (Sisa, 2014:201). They were disjointed and did not prove to be productive. Performance management was introduced to integrate the previous performance programmes into a single holistic framework (Bashe & Jongman, 2006:24; Nyamunga, 2006:4; Monnaesi, 2011: 33; Washington & Hacker, 2009:4).

Previous performance programmes had failed to improve performance in the public sector in Botswana and there was a need to introduce a model that would improve performance. One of the limitations of the previous programmes was that they were not focused on the public service as a system but focused on specific issues and were therefore narrow in scope (Bashe & Jongman, 2006:24; Washington & Hacker, 2009: 4).

The consultants who recommended the introduction of performance management were of the view that it would address the limitations of the previous performance programmes (Sisa, 2014: 202). Performance management was seen as a sustainable approach that would enable the public service to be an integrated system and provide managers with a powerful tool for improving performance in the public service (Kiragu (Mutahaba, 2006:7; Washington & Hacker, 2009: 5). A participant from the ministry was of the opinion that there was need to change the approach of introducing innovations such as performance management and make the innovation employee driven so that employees feel it is their reform. This would lead to implementation success because employees would want to see their innovation succeeding.

The issue of service delivery had been a challenge for the public sector in Botswana since independence and investigations that have been carried out have proved that the public service provided poor service and there was growing concern among the public (Marobela, 2008:423; Hope, 2002: 539; Somolekae, 1998:24; Nyamunga, 2006: 2; Dzimbiri, 2008:47; Skeleman, 2007: 7; Chirairo, 2008: 1). Concerns among the public included weak implementation capacity, low productivity, poor work ethic, bureaucratic dominance as well as mismanagement.

The introduction of performance management in the public sector was perceived as responding to the aspirations of the people as articulated in the national vision of the country (Kiragu & Mutahaba, 2006: 8; Bashe & Jongman, 2006:23; Washington & Hacker, 2001:1). The performance management system was designed in a way that links it to the national vision and

the national development plans (Dzimhiri, 2008:54). The participants were of the view that the linking of performance management to the vision was meant to make employees see the importance that government placed on performance management. What remained was for government to link the innovation to pay so that employees would be motivated to perform.

Performance management was also introduced in the public sector to restore public confidence in the ability of the public service to deliver quality service (Hope 1997: 134). Performance management was also introduced in the Botswana public sector to make the public service more competitive; creative and innovative; accountable and efficient as well as changing the mind-set of public sector employees to adopt a positive work culture (Skelemani, 2007: 8; Henderson & Hecker, 2002: 1). Some participants were of the view that performance management like any other reform that had been implemented in the public sector in Botswana needed the support of employees in order for it to succeed and presently that support was lacking. There was a need to have drivers of the implementation to enable the public sector to be competitive. A participant commented as follows:

The public sector in Botswana can restore confidence to the general public if employees changed their negative perceptions on performance management.

The introduction of performance management in Botswana's public sector was also influenced by the global trend where other countries such as the United Kingdom, the United States and Australia had introduced public sector reforms to improve service delivery (Mutahaba & Kiragu, 2002:50). Implementation of performance management in these countries was said to have enhanced service delivery and Botswana perceived service delivery challenges in the public sector to be something that needed to be resolved hence the adoption of a reform that was effective elsewhere (Ayeni, 2001: 3).

Some participants were of the view that there was a need for employees to stop distancing themselves from performance management because the innovation originated from other countries. A participant questioned this notion saying that Botswana as a country relied on products and services from other countries and performance management was not different. The participant suggested that employees should provide feedback to DPSM on what they wanted to be changed in the reform rather than rejecting the reform completely. If the reform had worked

in public sectors of other countries including the education ministry, then it could succeed in Botswana if there was a change of mind – set.

To ensure implementation success, structures were created in the public service hierarchy to facilitate effective implementation of reforms (Bulawa, 2011: 34). The structures included Ministerial Performance Improvement Committee (MPIC) which was at the ministry level, Performance Improvement Committee (PIC) comprising of all permanent secretaries, Economic Committee of Cabinet (ECC), Directorate of Public Service Management and the Botswana National Productivity Centre (Bulawa, 2011: 34).

Performance management creates a culture of high performance and the introduction of performance management in the public sector was seen as an attempt to change the existing culture and replace it with a culture of performance. Characteristics of a high performance culture include the following (Armstrong, 2009: 229):

- Management defines what should be done or improved, set goals for success and monitor employee performance to see that goals are achieved.
- Other ways of performing tasks are adopted including redesigning jobs, making teams autonomous, team briefing and allowing flexibility in performing tasks.
- Employees are made aware of what is expected from them, their goals are clarified and they are made aware of what they are accountable for.
- Employees are empowered to perform to their maximum
- Leadership is strong and shares its vision with employees on the improvement of performance.
- Management promotes positive attitudes among employees resulting in employee engagement, motivation and commitment.
- Performance management processes are linked to goals of the organisation to ensure that employees are engaged leading to the achievement of agreed goals and standards.
- The capacity of employees is developed at all levels to support the improvement of performance and opportunities are provided for employees to use their skills and abilities.
- The organisation has talented employees to ensure high performance levels at all times.
- The organisation values employees and they are rewarded according to their contribution.

- Employees are encouraged to develop high performance practices.
- Employees trust each other and they work in teams to satisfy customer needs.
- Employees are aware of the strategic aims of the organisation and those of departments.

When performance management was introduced in the public sector in Botswana, the aim was to inculcate a high performance culture which would have resulted in customer satisfaction. If the characteristics of a performance culture could be achieved, there was going to be performance improvement that would transform the work culture in the public service. One area where there was need to have a culture of performance was the education ministry as articulated in vision 2016. For an organisation to have a high performance culture there is need to have a high – performance work systems and this includes the following (Armstrong, 2009:230):

- The arrangements at the workplace should equip employees with relevant abilities to perform their tasks and motivate them to do their work.
- Avail training opportunities to employees as a way of equipping them with relevant skills and knowledge so that they can perform their tasks.
- Provide opportunities for promotion and compensate them satisfactorily and allow skilled employees to make decisions on the tasks performed.

The participants singled the issue of resources as a limitation that hindered the effective implementation of performance management in schools. Schools did not have adequate resources to support implementation. They suggested that there was a need to fully equip schools with needed resources although they perceived this as a challenge because of the lack of diversity in the economic activities of the country. A participant gave examples of situations where schools would depend on the regional offices for photocopying and printing of examinations because of lack of resources.

Performance management promotes a culture of high performance and if this is accompanied by high performance systems, there is a high possibility of the organisation achieving its goals because of the improved performance of employees. This was the vision of the public sector in Botswana especially in the education ministry where there was concern on the achievement of learners in public examinations.

4.4. 4 Does performance management work in the public sector?

Performance management requires an employee to set targets to enable the individual to evaluate performance against the targets and implement corrective action where necessary (Swardt, 2013: 147). This is then followed by appropriate action. Theoretically performance should improve if the objectives are clear to the employee (Swardt, 2013:147). Generally employees will improve their performance if the expectations are clear to them and they have the skills and knowledge of performing tasks and the standards are also clear (Swadt, 2013:147). Survival instincts of human beings make them want to exceed set targets (Swardt, 2013: 147).

The sequence of performance management steps include the defining of objectives followed by the provision of feedback and then the correction of performance. This is then followed by rewarding of performance leading to optimum performance. (Swardt, 2013:148). If the sequence was to be reversed, it would lead to negative performance.

The use of performance information to improve performance has been important in the public reform agenda for the last few decades (Behn, 2002:13; Boyne, 2010:212; Moynihan & Pandey, 2005:428). From a managerial point of view of performance management, performance information can be used for strategic decision making to improve the performance of an organisation and from an employee's point of view performance management assists in defining goals, setting performance targets and being motivated to meet the targets (Moynihan, 2008:7). Performance management promises that if there are clear goals that are measurable and employees who perform get rewarded; they will be motivated to act in the best interest of the organisation (Lee & Jimenez, 2011:171). Specific goals impact positively on employees to engage in change – oriented behaviour and make them focus on their tasks to achieve organisational goals (Taylor & Beh, 2013:1098). The emphasis of performance management on giving employees more autonomy so that they can determine the best way to accomplish results rather than following established processes makes its implementation produce results in the public sector (Taylor & Beh, 2013:1098).

The introduction of performance management in the public sector results from pressures faced by governments because the environments in which governments operate are no longer as stable as they used to be hence the need to be flexible and adapt (Moynihan & Pandey, 2005:428.). Globalisation has put pressure on governments to redefine their boundaries and cooperate with

other countries and coping with such demands has created uncertainty and increased the risk of failure persuading decision makers to introduce reforms that will enable public departments achieve improved performance. The general shortage of public resources demands improved ways of service delivery and new ways of the functioning of public organisations to make the whole system efficient hence the need to introduce performance management (Moynihan & Pandey, 2005:428). The public sector has been perceived as inefficient and backward and citizens of different countries are demanding quality service forcing policy makers to think of reforms for improving service delivery (Moynihan & Pandey, 2005:428). This has made the public sector to borrow performance management ideas from the private sector and implement them in the public sector.

One of the challenges that performance management faces is that it has lagged behind in the changes that are taking place in the work environment. Effective performance management is important for organisational success (Aguinis, 2014:15; Baldwin, Bommer & Rubin, 2012:32) but the challenge is that performance management methods used by many organisations have not kept pace with the changes taking place in the work environment. Researchers in this field are quite clear in that traditional methods of performance management are no longer effective in motivating employees and improving productivity (Bersin 2013:3; De Waal, 2003:691; Gruman & Saks, 2011:129; Ramirez, 2013:4). This is the challenge that the public sector may face because the sector is known to be slow in adapting to environmental changes.

Improving productivity in the public sector by using private sector methods is not as easy as it seems because of the difficulty of measuring productivity in the absence of profit which is used to measure private sector productivity. The concept of efficiency is also difficult to relate it to the public sector and McAdam et al. (2005:275) argue that transferring these measures to the public sector creates challenges which are not only related to the meaning of economic efficiency in the two sectors but also because of the uniqueness of outputs of the public sector. Public goods are not packaged in a way that will result in them being consumed only by those who have paid for them which is the case with the private sector. Once the public sector provides a good every citizen benefits from it, even those who have not paid tax (McAdam, et al., 2005:275). It is also not easy to measure production output because it takes place at the same time with the consumption of the good. It would seem like there is a gap between what reformers say and what

actually happens on the ground hence many countries have found it difficult to improve public sector productivity through performance management.

Jones and Kettl (2003:5) note that reforms in New Zealand have been criticized for using a narrow theoretical NPM framework in designing public sector reforms. The New Zealand reforms are said to have been too “mechanistic” and did not take into consideration the unique features of public organisations. When this is considered, it becomes difficult to safely conclude that the reform process in New Zealand has been a success when results on the ground show otherwise (Jones & Kettl, 2003:5).

Jones and Kettl (2003:5) view decentralization in New Zealand as having not empowered school managers and there is a gap between rhetoric and reality with central government making all decisions for schools and minor decisions are made by the Education Review Office leaving school managers with no power to make decisions. Jones and Kettl (2003:6) argue that the reforms have reduced the choice of citizens on education, made principals become managers rather than skilled leaders and handed over the control of education to politicians instead of educators.

Andrews (2014:6) argues that the criticism of target – setting and planning which are associated with performance management is that it restricts employees’ innate sense of mission and make them only focus on targets because that is what is going to be measured and ignore other areas of organisational functioning. If the goals are vague, there is greater chance of success because such goals can be interpreted and achieved in different but effective ways and this argument supports Lindblom’s (1959) classic argument on the strengths of “muddling through” in public sector organisations (Bevan & Hood, 2006: 529).

A number of studies have been carried out to analyse the relationship between performance management systems and efficiency in the public sector. Andrews (2010: 47) argues that cost–savings in the public sector can be achieved through competition but other studies indicate that efficiency gains in the public sector may be achieved through benchmark competition (Gaynor, Moreno–Serra & Propper (2010:11). Lockwood and Porcelli (2013:58) analysed English and Welsh local government authorities and found that the introduction of competition improved output performance but did not improve cost – savings making the efficiency issue for

competition to remain unproven. Other studies have also failed to link performance management to efficiency gains (Walker & Boyne, 2006:383) but Andrews and Van de Walle (2013: 778) uncover a link between the two with citizens perceiving Welsh local authorities as being efficient. Although some studies have been unable to find a link between performance management and efficiency, there seems to be some positive gains in value for money (Andrews, 2014:9).

In order for performance management to be effective, it is important to get the conditions right (Andrews, 2014:9). For example in order for benchmarking to be effective, there is need to compare a number of organisations so that competitive learning can take place and result in sector – wide improvement (Ward & John, 2013:12).

Performance management works in organisations that have leadership that is able to adapt to interventions that have been put into place and also act professionally. If performance management systems are well designed, implementation can be successful, but there is need for policy – makers at national, local and organisational levels to ensure that managers use performance information effectively (Andrews, 2014:9).

Reforms seem to have become a permanent feature in the public sector. The challenge is that the world of management and organisational sciences on one hand and political and administrative sciences on the other have always looked at management differently (Kickert, 2010:493) and change management in the public sector has attracted a lot of literature lately (Kickert, 2014: 697; Kuipers et al., 2014:16). The focus on public sector reforms has been on improving efficiency and the quality of service delivery (Kuipers et al., 2014:16).

It is important for the public sector in Botswana to find out the challenges that are being faced in implementing performance management and address them. Botswana is not the only developing country that has faced challenges in implementation and there is need to put all systems in place so that implementation can be effective. The issue of management training is crucial if implementation is to succeed.

4.4.5 General challenges encountered in performance management in Botswana's public sector

Organisations invest large sums of money in implementing performance management in an effort to improve productivity and some of them fail to get any return from their investment. Implementing performance management systems can be challenging for some organisations and they might find that productivity does not improve at all. PMS is based on the principle of management by agreement or contract and not management by command (Dzimbiri, 2008: 47). That can become a challenge for some managers who are used to manage through commanding subordinates. One of the implications of implementing performance management is to move away from the autocratic leadership style and that can be a challenge for some managers. There should be frequent dialogue between management and subordinates and if this does not take place, the organisation may not achieve the goals of implementing performance management. Management and subordinates should realise that performance management is a flexible process that requires both parties to come up with a framework that sets out how best the required results can be achieved (Mahapa et al., 2015: 246). If the parties neglect this aspect, implementation may not be effective. There is need for subordinates to be given consistent feedback on their performance instead of waiting for the usual annual review (Mahapa et al., 2015: 246). If feedback is done annually, performance management may not yield the required results. Subordinates may get monthly feedback on their performance so that if performance is not up to the required standard, they become aware of it and change their behaviour.

Some participants of the study who had been teachers before moving to headquarters revealed that one of the challenges that some school managers faced was to change from the old school of management. It was a challenge for them to have a performance plan with a teacher because they were used to the old system of classroom inspection. One participant had this to say:

It is a challenge for school managers from the old school to have a performance plan with a teacher. To them it is a sign of weakness. The manager should determine what the teacher should accomplish.

Even during the performance review meeting, the manager had to listen to the views of the teacher and if a manager belonged to the old school, the manager does the talking and the teacher

listens. The participants revealed that they had received complaints from teachers who were not given an opportunity to air their views by school managers during review meetings. The challenge is for managers to be able to take note of these steps and implement them in order for performance management to be effective. Through consistent feedback, employees with less expertise are enabled to grow in their special fields by being paired with those who are experts (Mahapa et al., 2015: 246).

Rewards are an important part of performance management (de Waal, 2007:73). Employees who perform well expect the organisation to reward them for their efforts in the form of money, bonuses or promotions. If an organisation dangles rewards, employees are likely to be motivated and achieve the required results (Mahapa et al., 2015: 246). If an organisation attaches rewards to PM, the desired results will be achieved. What might be a challenge is to introduce performance management without any monetary rewards to support it. Employees may not see the need to change their behaviour and achieve desired results. When performance management was introduced in the public sector in Botswana, there were no monetary rewards. In Botswana the public sector has not fully benefited from the expected implementation of performance management (Dzimhiri, 2008:44).

The implementation of performance management in the public sector has had some challenges. When the system was introduced, it was intended to instil a culture of managing performance that would produce results expected by citizens (Dzimhiri, 2008:44). The objectives were to improve the performance of individuals and different departments, provide a planning platform and a change management framework that would result in effective and efficient provision of quality customer service (Dzimhiri, 2008:44). Performance management allows government departments to define their future and design ways of arriving at those destinations (Dzimhiri, 2008:44). At its inception, departmental leaders were trained in PMS and according to the participants this is where things did not work out. When departmental leaders went back to their departments, they disseminated information according to how they had understood what performance management entails leading to departments providing different information. One participant had this to say:

This is where the confusion started. Different departments had different versions of performance management depending on what was said by the departmental head.

One of the challenges faced by different departments included the inability to measure the performance of employees using the standard measurement tools (Dzimhiri, 2008:44). Leaders who were trained in PMS were to develop their departmental strategies and annual performance plans, cascade the philosophy and principles of performance management to lower level employees for them to understand and appreciate PMS so that they support it (Dzimhiri, 2008:44). The rate at which cascading had taken place had varied from one department to another and middle and lower level employees have had little awareness and education on PMS (Dzimhiri, 2008:44).

A major challenge in the implementation of PMS in the public sector in Botswana is the lack of support by senior management in the different departments who view it as another programme that is bound to fail (Dzimhiri, 2008:44). This has slowed down the implementation of PMS. The commitment of leadership is crucial if performance management is to be successful (Mahapa et al., 2015: 246). It is important for management to be seen to be in the forefront of promoting the principles and implementation of performance management initiatives (Mahapa et al., 2015: 246). This was not the case when performance management was introduced in the public sector in Botswana. If managers support the initiative, they instil a culture of performance which is viewed by employees as a way of identifying good performance rather than as a burden used to identify poor performers (Dzimhiri, 2008:45).

The participants were of the view that the positives of performance management are neglected when senior managers discuss issues on performance management. Discussions generally focus on the negative issues surrounding performance management such as the amount of paperwork associated with the reform. The participants were of the view that there was need for managers to focus on the positive aspects of performance management to change the mind – set of employees.

Public expectations in service delivery had been high since the introduction of PMS. These expectations had not been met and government was concerned about the slow progress. One of the challenges had been weak implementation capacity (Dzimhiri, 2008:45). The general public in Botswana has always been worried about the failure of the public service to implement government programmes and projects (Hope, 1995:55). A number of projects that are in the national development plans have not been completed in the duration of the plan and this has

resulted in projects carried over to the next development plan (Hope, 1995:55). Out of 188 projects that were earmarked for the 8th national development plan between 1997/98 and 2002/03, 23 were new projects and 156 were projects that had not been completed in the 7th national development plan and 9 projects were added during the period of the plan (Republic of Botswana, National Development Plan 9, 2003a: 75).

The inability to complete projects on time resulted in cost over runs. As a result of the delay in the completion of government projects in the 8th national development plan, government ended up paying 73% more than the estimated budget of 11.8 billion pula for the projects (Kealesitse et al., 2013: 34). There was public concern on this issue and weak implementation capacity resulted in expenditure that could have been avoided had the projects been completed on time. The other concern was that the public service had limited management capacity to supervise and achieve required results on time (Hope, 1995:55; Sharma, 2010:138). Some participants were of the view that the school curriculum should include some of the challenging areas to enable learners to appreciate these challenges at an early age.

4.4.6 Performance management in the school context

Reforms in the school context can be better understood with regard to how they affect the structure and culture of the school setting. The introduction of PMS in an organisation may change the work environment and Greenan (2003:292) argues that change results in the distribution of power, information and skills. Change could be viewed as the redesign of structures and cultures of an organisation from the present to the one that is desired for the future (Jones, 2007:9). When change is implemented in the school system, it affects the existing culture and structure of the system.

Some participants acknowledged the change in culture as a result of the introduction of performance management in schools. Managers were more powerful because of their role in decision making of the performance of teachers. Teachers were against the additional authority that school managers had and relationships had been strained especially in situations where teachers had been rated lowly. One participant had this to say:

In some schools, managers and teachers may spend up to a school term without talking to each other because the teachers feel the appraisal was not fair. Some issues have been referred to headquarters.

The structure of an organisation determines how tasks are grouped, divided and coordinated (Robbins et al., 2008:45). Dimensions of organisational structure include the degree of bureaucratisation which affects practices in recruitment, promotions and conditions of employment (Matheson, 1996:41). The second dimension covers the issue of specialisation in the structure of the organisation and the third one is the hierarchy of the structure which ensures that decision makers at the top of the structure are responsible for making policies which should be implemented by employees. Individuals at the top of the structure delegate tasks to those who are at the bottom of the hierarchy.

Organisational culture can be defined as the shared meanings, beliefs and assumptions of members of an organisation (Van Houtte, 2005:77). Culture affects the way organisational members behave (Van Houtte, 2005:77). In the school context culture can be defined as meanings, values and attitudes of people working in a given context and how they are perceived by the teachers (Flores, 2004:299). The culture of a school may include issues such as the regulations of the school, the interaction among teachers and the relationships among teachers.

Functions of organisational culture may include shared interpretations on how members should act, what should be valued, which norms they should be committed to and what identifies them as members of an organisation (Van Houtte, 2005: 79). Organisational culture also informs members on what they are permitted to do and what they are not permitted to do (Van Houtte, 2005:79). The success of performance management implementation in the school system largely depends on how it aligns itself with the culture of the organisation.

When performance management was introduced in the education ministry in Botswana it affected the culture of the school system. Teachers were to change the way they had been doing their work and adapt to new ways of performing tasks. According to McShane and Travaglione (2003: 547) when introducing performance management there is need to unfreeze the existing culture through the removal of artefacts of the old culture and introduce those that are associated with the new culture. This can be done by reducing resistance and increase forces that facilitate

the desired new culture (Githens, 2009: 270). The theory assumes that old ways of performing tasks are discouraged as part of the unfreezing aspect and refreeze by encouraging new ways of performing tasks. With performance management, the new ways of performing tasks would be associated with high performance.

It should be noted that changing organisational culture is not as simple as just switching off one button and switching on the other one. This is why the unfreezing theory has been criticised because it assumes that changing organisational culture is simple (Connolly, Connolly & James, 2000: 69). It does not consider external and internal drivers of change. In the school context, there are many stakeholders who influence change and they include teachers and parents and each one of them has an important role to play. In a study conducted by Hayes (2000: 136) the findings revealed that the introduction of an innovation is perceived as a threat by the stakeholders who are in the system because it affects the status quo and they may not be sure how the change will benefit them.

The introduction of performance management as a reform in the education ministry in Botswana should be perceived from such an angle where some teachers and school heads may not be certain about its impact on their jobs. The reform may change the structure and culture of an organisation in a way that may not motivate the employees. The participants revealed that at its inception school managers became unpopular in certain schools because they were perceived to be supporting an innovation that had been imposed on schools without the initial participation of schools. One participant who was a teacher when the innovation was introduced had this to say:

School managers who tried to take an interest in performance management were labelled “sell – outs” and they became unpopular.

4.4.7 Introduction of performance management in the Ministry of Education and Skills development

Botswana introduced the performance management system in the public sector in 1999. The aim of introducing performance management was to improve productivity and restore public confidence in the operations of the sector (Bulawa, 2011:34; Mpabanga, 2016:51; Dzimbiri, 2009:48). In the schooling system the aim of introducing PMS was to restructure the education ministry along corporate management practices leading to increased accountability and

productivity for teachers (Down, Chadbourne & Hogan, 2000:213). The reform would result in a situation where public schools were run using private sector practices such as the introduction of appraisals and performance reviews (Down et al., 2000:213).

Like all other ministries, the Ministry of Education and Skills Development ensured that PMS was implemented in all its departments and institutions. Schools were provided with a document that has six guidelines on how objective assessment of the performance of a teacher was to be done on objectives that had been agreed on by both the teacher and the school head and these covered a period of a year (Bulawa, 2011: 37).

4.4.8 Specific challenges facing the Ministry of Education and Skills

Development in performance management

4.4.8.1 Poor work ethic

Performance of learners at both junior and senior secondary school public examination has continued to decline over the years regardless of the implementation of performance management whose implementation was supposed to improve performance of teachers and yield better results for learners. However this has not been the case.

Hope (1995: 41) observed a culture of indifference in the public service that had led to laziness, complacency and negligence of responsibilities among civil servants. This had led to a decline in performance. In 2006 the then President of Botswana, Festus Mogae in his state of the nation address noted with concern the decline in the work ethic of public service employees resulting in the country being ranked below other Southern African Development Community countries.

The poor work ethic had resulted in low productivity leading to a decline in the World Economic Forum's global competitiveness rankings. In 2008, Botswana was ranked 56 out of 134 countries but dropped to 66 in 2009, 76 in 2010 and 80 in 2011(Modikwa, 2012:12; Owino, 2012:8).

Some of the reasons that made government introduce performance management include the following: lack of effective planning; wastage of resources resulting from poor management and lack of efficiency; the public sector being insensitive to the needs of the people; lack of strategic plans by the ministries to facilitate effective implementation and; the need to compete in the global market (Marobela, 2008: 424; Kealesitse et al., 2013: 34).

Some participants were of the view that Batswana who work in the public schools feel that their work has not been appreciated hence those who are in the middle class send their children to private schools. The perception with private schools is that the teachers are foreigners and their work ethic is different from Batswana. One participant had this to say:

You hardly find a Motswana teaching at a private school except if one is a Setswana teacher because of the poor work ethic of local teachers. The other perception is that they cannot keep up with the pressure of work in private schools.

The introduction of performance management was aimed at providing an integrated and holistic approach to reforms in the public service to enable employees to improve performance which would result in the achievement of government goals (Kealesitse et al., 2013: 34). It was also meant to increase the capacity of the public service as well as effective and efficient service delivery (Marobela, 2008:424).

4.4.8.2 Resisting change and strained relationships between teachers and school managers

Evidence shows that there is a widening gap in relationships between teachers and school managers as a result of the implementation of performance management in the education ministry in Botswana (Bulawa, 2014: 7). The strained relationships seem to originate from the redefined role of a school manager as a result of the implementation of performance management.

A study by Simkims (2000:217) revealed that the implementation of performance management resulted in the increase of managerialism in education redefining the role of a school manager. Managers had to adopt corporate views and this required them to pay attention to the policy of the school and the relationship of the school with the external environment (Simkims, 2000:323). This meant that managers no longer only focused on the curriculum and this did not go down well with the teachers whose focus was on the needs of learners (Simkims, 2000:323). This resulted in strained relationships between teachers and school managers (Simkims, 2000:323).

The introduction of performance management also changes the supervisory roles of school managers. Performance management increases the decision – making role of school managers and this may increase tension between school managers and teachers (Bulawa, 2011:73). The

implementation of performance management gives school managers the power to rate the performance of teachers and those who are given low scores may not agree with the assigned scores (Bulawa, 2011:73). Bowles and Coates (1993:8) conducted a study on the role of managers in the implementation of performance management and concluded that the appraisal system tended to reinforce authority relations and created dependency resulting in decreased motivation among teachers. Another study by O' Brien and Down (2002:120) in Australia on the perceptions of the relationship between teachers and school managers revealed that increased school-based decision making resulted in increased tension because of the increased authority that school principals had as a result of the implementation of performance management. The implementation of performance management distances management from the other members of staff.

A study by Ball (1993:120) in the United Kingdom revealed that the implementation of performance management reforms was met with resistance from teachers and school managers. The implementation of performance management created divisions between management and teachers. The tensions result from the authority of the management to make decisions on the performance of teachers. Ball (1993: 120) found that there was a widening gap between teachers and management in terms of working relationships and this was affecting the motivation of teachers leading to resistance of the reform. Teachers felt that they were marginalised even on issues concerning the curriculum hence the increase in tensions between management and teachers. McShane and Travaglione (2003:33) suggest that resistance could be a result of stress because of uncertainty on the future of teachers. The implementation of performance management results in a situation where a small group of people become in charge of making decisions about almost all the affairs of the school and this can be demotivating for teachers where they feel they have no voice on how supervision should be done and what should be considered when rating performance. This could be negatively affecting the implementation of performance management in the education ministry in Botswana.

The participants of this study indicated that when there are promotional posts, one of the first factors to be considered is the performance of the individual. Teachers are aware of how low ratings may affect their prospects for promotion and this is why they may perceive management as blocking their chances of promotion because of low ratings. A participant had this to say:

Some teachers come to headquarters to complain that the school manager deliberately gives them low ratings to block them from getting promoted because of the poor relationship between the two.

A study in the United Kingdom by Bartlett (1998: 489) on the supervision of school documents and classroom supervision by school management as part of the appraisal system, teachers perceived the appraisal system as part of an increasing dominance of the managerialism ideology. The perception was that the appraisal system was imposed on teachers for monitoring purposes as well as reinforcing managerial control over teachers (Bartlett, 1998:498). Bartlett (1998:498) observed that this increased the power of school managers over teachers and resulted in a situation where teachers obeyed authority without question and increased tension between teachers and management.

School management teams are also faced with difficulties when a reform like performance management is introduced in the school system and this is one of the challenges that management teams find themselves in Botswana. The ministry demands implementation to be done successfully and management teams have the responsibility to make sure this happens. At the same time school management teams have to manage their relationships with teachers who may not be keen to implement policy. In a study Harris (2003:3) found that school heads had to meet ministry demands to implement policy and at the same time they met resistance from teachers and this resulted in strained relationships because school heads as change agents had to ensure success of implementation but at the same time the very people who are to implement change are not willing to do so. This puts school management teams in a difficult position.

In a study by Tooms, Kretoivics and Smialek (2007: 97) school management teams revealed that the environment in which they worked was political and external pressure on policy implementation caused tensions with teachers and they indicated that they would be happier if the environment was not political. This is the position that school heads find themselves in Botswana and it becomes a challenge to implement performance management.

Since the implementation of performance management in the ministry of education in Botswana, there has been increasing resistance from employees. Resistance could be a result of lack of progress in the implementation process; lack of training on the implementation process and the

perception that performance management is not for the school environment (Bulawa, 2013:63). Resistance could be based on the perception that PMS has failed to adapt to the school environment (Bulawa, 2013:64). The perception by many school managers is that performance management is for the private sector and careful consideration should have been made to adapt it to the school situation (Bulawa, 2013:64). The argument is that teachers do not find it relevant to teaching and school managers also fail to explain its relevance to education and how the implementation of performance would improve the performance of learners (Bulawa, 2013:64).

Diefenbach (2007:129) argues that in most cases teachers are not against change but resist what they view as managerialistic change that is implemented without considering their interests or input. They perceive such change as serving the interests of a few because of the use of the top – down model to change. There is need to consult widely when implementing change so that there is minimal resistance. McShane and Travaglione (2003:33) recommend involvement of teachers and other stakeholders to ensure that no group perceives itself as implementing other people's decisions. It also reduces the uncertainty that employees have on how the change will affect their future. Perhaps if this had been done the implementation of performance management in the public sector in Botswana would be successful. Bowles and Coates (1993:9) concede that an effective performance management should empower employees and make them judge their own performance as well as identifying areas where they need development.

Some participants were of the view that resistance to performance management in schools could be a result of a feeling of powerlessness where teachers felt that school managers had too much power and could decide on the fate of their future. The changes that were ushered in as a result of performance management made school managers more powerful at the expense of teachers. One of the participants had this to say:

A school manager can write a comment in the appraisal form indicating that the teacher did not have leadership qualities. This shows how powerless teachers can be.

The frequent changes in performance management have led to loss of confidence on the reform (Bulawa, 2014: 9). The changes are said to impact negatively on teachers and the ability of management to implement the reform. This has also led to some teachers resisting the reform because of the confusion brought about by the many changes (Bulawa, 2014:9; Dzimbiri,

2008:53). The changes are also viewed as distracting the teachers away from their core business because they have to spend time discussing the changes and how this will affect the whole process (Bulawa, 2014:9).

PMS is viewed as a reform that does not belong to the school system. Some school managers feel that PMS is a reform that was transplanted from the private sector and the corporate world and is driven by non – educational interests, creating a challenge for school management teams to make it work in public schools (Pansiri, 2011: 756; Tabulawa, 2003: 11; Molefhi, 2015:64). A study by Molefhi (2015:64) revealed that some teachers still resisted performance management 14 years later after its introduction into the ministry and such a challenge makes it difficult for successful implementation. The attitudes that some teachers have towards the reform is negative and such teachers would in many cases want it to fail. Some private sector beliefs that the importance of managerialism as a neo – liberal mechanism is as applicable in the public sector organisations such as schools as it is in the private sector should be taken with caution (Pansiri, 2011:756; Tabulawa, 2003:11). Pansiri (2011:756) and Tabulawa (2003:11) argue that ideas that seem to promote neoliberal policies that tend to emphasise the importance of managerialism instead of teaching and learning may not be appropriate for school managers. A participant had this to say:

During workshops teachers sometimes bring literature from authors who perceive that the effectiveness of performance management is doubtful in the school system.

Some school managers believe that the ministry made a mistake by believing that since performance management could work in industry and mines, it would also be effective in public schools and the ministry now realises that there was a need to adapt it to suit government schools (Bulawa, 2014: 12). These managers view this as a challenge because they are required to implement a reform that has a private sector bias. The schools managers also note that even during their initial training examples such as profitability that were given by the trainers were from the private sector and it is difficult to contextualise them to a public school set up (Bulawa, 2014:12). Heystek et al. (2005: 17) argue that performance management was inherited from industry where high performance can be financially rewarded and this may not be possible in a school system. Teachers may decide not to participate if performance is linked to monetary rewards.

It might be difficult to determine high performance in a school situation because the performance of learners in a class is not only as a result of an effective teacher. There are other factors that may have nothing to do with the teacher such as availability of resources, the home environment and self - motivation of the learner. Marobela (2008:426) argues that NPM has ushered in private sector management values into the public sector and the corporate culture has been adopted in the sector with goals and objectives being formulated using strategic management terms. In Botswana different ministries are now required to have a vision and mission (Marobela, 2008:426). Reforms are implemented to bring strategic change in the public sector and the use of private sector practices has its own challenges when used in the public sector because of the introduction of the entrepreneurial culture in the public sector (Marobela, 2010: 426). However, Radnor and McGuire (2004: 245) argue that when assessing the broad reasons of implementing performance management in the private sector, one may find no grounds that these reasons are also not applicable in the public sector. This has led to the introduction of performance management in areas such as education.

The thrust is in the quest to drive continuous improvement in the public sector and make public organisations accountable for the resources they use as well as the outcomes that are achieved (Radnor & McGuire, 2004: 245). Challenges school managers encounter are to play the roles of a monitor and performance judge as well as an understanding counsellor (Prowse & Prowse, 2009:72). Adequate training is required for one to play these roles.

Pate et al. (2007:466) note the increasing lack of trust of senior managers by subordinates in the public sector and they suggest it could be because of the denegation of ethos, values and ideology of the public sector. Employees question the commitment of senior managers in the public sector and are of the view that senior managers are the ones who have failed the sector by deviating from the original values of the public sector (Pate, Beaumont & Stewart, 2007: 466). Such issues may explain the negative perceptions of subordinates with regard to performance indicators in the teaching profession. Problems also arise when managers introduce a performance management system composed of rules and regulations to be followed and they let it run without motivating employees through the use of leadership skills and hands – on approach to ensure improved customer service (Behn, 2005:64).

Machingambi (2013:218) notes that at school level performance management assists in the identification of teachers' needs, provide support in the professional growth of teachers, encourage accountability and the effectiveness of the school as well as providing an instrument for teacher evaluation. Collaboration between teachers and school management in integrating performance measurement processes for professional growth result in improvement for both the teachers and the school (Machingambi, 2013:218). From such a perspective, PMS can be viewed as a form of in – service programme designed for the professional growth of teachers because the performance gaps and needs of teachers are identified and addressed (Shultz, 2006: 46). The view by some school managers that performance management belongs to industry can be challenged when considering views from other scholars but this is one of the challenges that the ministry is facing in the implementation of performance management in schools.

Dzimhiri (2007:5) and Mahapa et al. (2015: 21) contend that it is normal human behaviour to resist change because it impacts on the comfort zones of individuals. Employees feel threatened by the introduction of performance management because they will not be sure if their jobs will be safe hence the need for an organisation to be ready before introducing a change (Mahapa et al., 2015:21). It is important for employees to understand how the organisation will gain through performance management, why it needs the system, how the changes will be implemented and who the driver of the change will be (Musingafi, Dumbu & Chadamoyo, 2013: 149).

Both managers and teachers in schools are not receptive to PMS because of the limited understanding of how it will benefit the core business of schools. Some participants indicated that it was a challenge for them to convince school managers how performance management would benefit schools. This was attributed to lack of training on the part of performance coordinators. Participants revealed that heated arguments sometimes take place during workshops hence the need for them to be trained so that they can develop confidence in the area of performance management.

The way performance management was introduced in the ministry has also been questioned (Dzimhiri, 2007:5). Some school managers have indicated that performance management was introduced in a hurry and this is likely to result in lack of understanding of the reform and its benefits to schools. The top - down approach was used and school managers had no input as decisions were made at a higher level. This is why some school managers argue that it is not

relevant to the academic environment (Dzimhiri, 2007:6). If a reform such as PMS is introduced in a hurry, it might not be well received. A systematic step by step approach might work although there is no appropriate time to introduce each step so that the reform is well received (Dzimhiri, 2007:6). Introducing performance management in a rush made the reform be perceived as competing for time with the core business of schools which is teaching and learning and this could be one of the challenges that the ministry faced. School managers and staff members might have felt that the reform was bulldozed by the ministry on them and as school communities they were unwilling to give it a good reception.

The failure by the ministry to involve all stakeholders was another challenge to successful implementation (Dzimhiri, 2007: 6). The ministry did not scan its environment to evaluate its strengths, weaknesses, threats and opportunities (Dzimhiri, 2007:6). For example the issue of the shortage of resources might not have been considered as important when introducing performance management. By not involving all stakeholders such as teachers, non – teaching staff and learners, implementation faced a number of challenges that might have been addressed if all stakeholders had been part of the initiative from the beginning.

One other challenge is how activities that are not part of the performance contract should be handled (Dzimhiri, 2007:7). In most cases these activities are unplanned and the teacher has no agreement with the head of department to perform them. They include among others assistance given to students who come to the teacher after teaching hours, writing reference letters for learners or assisting learners from other classes. Should the teacher refuse to assist such learners because the activities are not part of the performance agreement contract but are equally important?

When performance management was introduced in schools, the American version was used and later the ministry changed to the Australian version and school managers are of the view that the ministry had seen that it was difficult to contextualise the reform to a public school situation (Bulawa, 2014:12). In the absence of universally agreed criteria of what good teaching is, it becomes difficult to come up with an instrument that can be used to assess good teaching and creative teaching (Machingambi, 2013: 218).

Some scholars argue that when measuring performance of teachers, managers should note that they are attempting to measure the invisible subjective side of measurement and they should do so cautiously (Machingambi, 2013:218). On the other hand measurement cannot be ignored because it is difficult to manage that which cannot be measured (Marwa & Zairi, 2009: 35). Greiling (2005: 557) perceives performance measures in the public sector as promoting learning, transparency, appraising as well as sanctioning. The challenge is what should be regarded as good teaching and what measures should be used?

Some teachers in the ministry of education in Botswana believe that performance management undermines their professionalism (Bulawa, 2011: 83). Mahony, Hextall and Menter (2004:114) in a study conducted in the United Kingdom found that teachers perceived performance management as not compatible to the professional culture of teachers and the reform had reduced teachers to objects of policy because they had not been consulted when the reform was designed. Teachers felt side-lined in that the reform was designed in the private sector with the participation of the private sector but teachers who were to be affected by the reform were not consulted (Mahony et al. (2004: 117). This resulted in greater control of teachers and neglected the motivation of teachers which is critical if teachers are to perform. The values of performance management were also said to include corporate values that seemed to ignore teacher knowledge and experience.

Some participants revealed that during workshops teachers would suggest that performance management should be for untrained teachers. The perception was that it was challenging their professionalism as trained and experienced teachers. A participant said this question was directed to the performance coordinator during a workshop:

Do you want to make us understand that qualified teachers who passed their probation are not effective teachers and can only be effective through PMS?

The introduction of PMS can change the culture of the school system and the change might not lead to the desired culture. The new culture ushered in by the introduction of performance management may shift the focus from teaching and learning to managerialism (Martin & D' Agostino, 2004: 182). Such a culture alienates decision making from teachers resulting in a culture of top – down decision making that disempowers teachers. In Northern Island the reading

programme which was a top – down prescription showed the gap between educational officials and what was actually taking place in the classrooms as experienced by teachers (Martin & D’Agostino, 2004:182). The ministry officials had not considered the practical situation that teachers were experiencing in their everyday work in the classroom and it showed how top - down decision making can demotivate teachers.

There is therefore need for policy makers to consult practitioners in some of these decisions because teachers are better equipped because they are the implementers of reforms that have to do with teaching. One of the challenges that could be confronting the ministry of education in the implementation of performance management could be that they did not consult widely to find out how implementation was going to affect teachers.

4.4.8.3 Lack of confidence to lead the implementation of PMS

Some school managers in the education ministry in Botswana feel that they do not have the confidence to successfully implement performance management (Bulawa, 2013:62). If you are supposed to lead the implementation of a reform such as performance management confidence counts because teachers depend on you to guide them and equip them with the necessary skills. If the school manager has no confidence implementation is negatively affected because teachers are supposed to draw confidence from the management and if the very people who are supposed to instil confidence in teachers lack confidence to lead then the reform is not likely to have successful implementation. Down et al. (2000) indicate that one of the challenges that negatively affected the implementation of PMS in the ministry of education was that teachers lacked confidence. Lack of confidence among management school teams in Botswana is because of lack of adequate training (Bulawa, 2013:62). Management teams feel embarrassed when they fail to answer questions from teachers on performance management issues and as a leader, the school manager feels inadequate in terms of preparation when one fails to respond to questions from teachers.

In a study conducted by Bulawa (2013: 62) school managers revealed that performance management made them lose the respect of teachers when they fail to respond to issues from teachers on the implementation of performance management because of lack of knowledge. Lack of training on performance management implementers is a challenge in the ministry. In the study school managers indicated that they lacked capacity to implement the reform with confidence.

School managers were concerned that teachers were gradually losing confidence in the ability of school managers to implement performance management (Bulawa, 2013:62). School leadership is generally expected to have answers and if they fail to explain certain issues on a reform that they are implementing, then their ability to lead the implementation becomes questionable in the eyes of the teachers.

Some participants sympathised with school managers for lack of confidence because of lack of training. The lack of confidence in leading performance management implementation had started to make management teams lose confidence in the performance management system itself (Bulawa, 2013:62). The slow rate of implementation could be attributed to the lack of knowledge and skills on the part of management and when results were not tangible, teachers begin to doubt if the reform can work leading to school management teams also buying the idea (Bulawa, 2013:62). Some school managers perceive that it is not only school managers who lack confidence but even head office officials because they do not frequent districts to conduct workshops on the implementation of performance management and this had contributed to the slow rate of implementation (Bulawa, 2013:62). In many schools management teams had failed to explain the advantages of implementing performance management in the school system because of lack of understanding (Bulawa, 2013:62).

Interest in the implementation of performance management at headquarters seemed to have decreased and school managers were beginning to ask themselves why they should continue showing interest in a reform that head office seemed to be losing interest in (Bulawa, 2013:62). The failure by head office to provide training on implementation of performance management was perceived as lack of commitment on the reform (Bulawa, 2013:62). The lack of understanding on school management teams on the implementation of performance management was not a secret at head office but officials did not seem to be keen to conduct workshops indicating to school management teams that commitment at head office seemed to have decreased or ministry officials were also not competent hence the reluctance in conducting workshops (Bulawa, 2013:62). Some school management teams felt that the ministry had failed the schools because of lack of monitoring the implementation process so that they could know the challenges that management teams faced (Bulawa, 2013:63).

In a study conducted by (Bulawa, 2013:62) school management teams in Botswana indicated that they were not confident in leading the implementation of performance management. Management teams revealed that they were not leading the implementation of performance management to their satisfaction (Bulawa, 2013:62). The study also revealed that because of lack of leadership capacity to lead implementation of performance management, there was a general lack of confidence among management that the initiative would produce the required results. Teachers were also losing confidence in PMS as a result of management lack of confidence in the reform (Bulawa, 2013:62). In a study conducted by Molefhi (2015: 65) some school management teams and teachers felt that the implementation of performance management was done in a hurry without evaluating the training given to management teams to make sure that they would confidently disseminate information of the process to the teachers

If management is leading the implementation of a reform and they have no confidence in their ability to do so effectively, success of implementation becomes questionable. According to de Wall (2007:70) one of the challenges in developing countries is the lack of skills to successfully implement viable performance management programmes. The other challenge is introducing tools and systems that have been effective in developed countries without considering local circumstances and making certain changes to suit the local environment and circumstances (de Wall, 2007:70). Each country is unique and has its own political philosophy, cultural, economic and social set up and it is important to include some home grown strategies when designing performance management tools (Mahapa et al., 2013: 21). A tool that may be effective in one country may not be effective in another situation, hence the need to make changes so that the tool suits local circumstances. If school management is involved in crafting a performance management tool, they may be confident in using it.

In another study Bulawa (2014:7) notes that right from the time performance management was introduced in schools, management teams in schools were confused regarding the place of performance management systems in the school context. Management was confused by the frequent changes or modifications that performance management continued to experience and they viewed this as a failure by the relevant authorities to identify a reform that was appropriate for the education system (Bulawa, 2014:7). After introducing performance management in the education ministry, authorities later changed and introduced performance based reward system

(PBRs) and at a later stage the ministry reverted to performance management again (Bulawa, 2014:8). School heads viewed this as a failure by the ministry to contextualize which of the two was appropriate for teaching and learning (Bulawa, 2014:8).

There are continuous changes in the terminology and procedures used in the performance management tool further showing that the ministry was still not decided on what was to be used in schools (Bulawa, 2014:8). These frequent changes made school management teams lose confidence in their ability to implement reforms and staff members at schools also got confused if they continuously see changes in the performance management processes and tools. Machingambi (2013:218) identifies a number of factors that lead to the success of PMS and they include the way the reform was communicated to the teachers and schools, the effectiveness and quality of training of teachers on PM by school heads and the frequency of staff development workshops on PMS. These factors may be affecting the implementation of performance management in schools.

If management teams lack confidence in leading the implementation of performance management, teachers may also lose confidence in PMS. If teachers are to accept a reform, they need to have confidence in it (O'Brien & Down, 2002:117). McShane and Travaglione (2003:34) note that change can be a stressful experience and it affects the self – esteem of individuals with regard to their future and they need to be confident about the change if they are to embrace it. Change affects people's experiences, practices and beliefs and if they are not confident about it, the future becomes uncertain.

Down, Chadbourne and Hogan (2000:213) conducted a study on the introduction of performance management in Australia and found that teachers were sceptical about the reform and had mistrust and anxiety because of lack of confidence leading to the belief that the reform was not working. In O'Brien and Down's (2002:117) study, teachers perceived performance management as irrelevant to the school situation and thought there were hidden agendas on its introduction to the school system as it seemed to promote values that were outside the school system. There was doubt that performance management would result in improved student performance. Some teachers in Botswana have the same perception that PMS is not for the education sector and find it difficult to associate it with the improvement of student performance (Bulawa, 2013:62).

Participants of this study from the ministry of education were of the view that there was need for the ministry to try and change the mind-set of teachers. As long as school management teams and teachers did not have confidence in the ability of performance management to improve student performance as well as its relevance to education, successful implementation is going to be a challenge for the foreseeable future. There is need for management teams and teachers to be committed to the reform in order for implementation to succeed.

Goodson (2001: 57) notes the importance of changing perceptions of people before rolling – out a reform. This will result in commitment as individuals will be inspired to ensure that implementation succeeds. Pulakis (2004:1) notes that performance management has had various problems in organisations with both managers and employees saying that it does not work. This could be a result of poorly designed performance management systems with poorly designed tools and processes that make it difficult for employees to understand it (Pulakis, 2004: 1). Challenges may also arise because performance management is generally personal and can be threatening to both managers and subordinates (Pulakis, 2004:1). This could be the situation in the ministry of education in Botswana where both school management teams and teachers perceive it as not relevant to teaching and learning.

4.4.8.4 Use of ineffective approaches of information dissemination on performance management

The cascading approach has been used in the ministry of education in Botswana to disseminate information of performance management from head office to schools. Jacobs and Russ – Eft (2001:496) define cascading as a method of disseminating training information from one group to another until everyone who is to receive the information has it. The question to be asked is how effective the method has been in the dissemination of information on performance management.

The approach has several benefits including short delivery time and it also allows employees to deliver and receive training in the actual context of change (Jacobs & Russ–Eft, 2001:496). Limitations of the approach include the dilution of training as the cascading takes place with less and less being understood down the cascade (Hayes, 2000: 138). The other limitation is that experts of a reform are concentrated at the top leading to those at the bottom of the cascade not getting the training from the experts (Hayes, 2000:138).

The cascading approach has been problematic in the implementation of performance management in Botswana because the school management teams who received training and were supposed to cascade the knowledge to teachers had little to offer to the teachers because they did not understand the reform themselves (Bulawa, 2013: 62). If the school management team had attended a workshop and had been trained but did not understand how the reform was to be implemented, it becomes difficult for them to disseminate information to teachers on something that they did not understand. This has been a challenge in the ministry where school management teams find it difficult to explain the benefits of performance management in the school system. In a study conducted by Bulawa (2013: 62) school heads in the ministry revealed that they did not understand how they were to implement PMS and it was also their view that even officials at head office did not understand it hence their reluctance to visit districts and conduct workshops on implementation. School heads revealed that they had failed to train their staff and could not disseminate the information they were to cascade to teachers (Bulawa, 2013:62).

This is not the first time that the ministry has used the cascading approach. It has been used previously in the pre – service and in – service project for secondary schools that was jointly financed by the United Kingdom’s Department for International Development (DFID) and the ministry of education. McDevitt (1998:426) questioned the idea of training the top hierarchy such as the training team from both the United Kingdom and Botswana instead of the teachers themselves since the objective of training was for teaching to have impact in the classroom. By focusing on the training team the risk was that when the team conducted training it may not modify the training to suit the situation but deliver the material as given to them. The other risk was that by the time the ideas were delivered to teachers during workshops, there may be distortion of information resulting in teachers not understanding how they were to make their teaching have impact in the classroom (McDevitt, 1998:426). The participants were of the view that new ways of disseminating information on performance management should be considered because the cascading approach had not been effective.

The dissemination of performance management information using the cascading approach in the education ministry in Botswana may be facing the same challenge more so that those who are to cascade the information barely understand the reform itself. Lack of adequate training in performance management implementation has led to school management teams failing to lead

the implementation process and the cascading approach in such a situation fails to be effective (Bulawa, 2013:62).

4.4.8.5 Lack of Appraisal and supervisory skills

Performance appraisal can be a complex and stressful experience for school managers especially if they have had inadequate training (Mpabanga, 2015:79). Problems may include inconsistency in rating teachers' performance, subjectivity resulting from unclear performance standards as well as biases based on personalities especially in the education field (Molefhi, 2015: 66; Mpabanga, 2015:79). High performers may be given low ratings and this may demotivate the teachers if they consider themselves to be good performers. A participant had this to say:

Ratings are a sensitive issue in schools and managers have been accused of unfairness and some cases have ended up at headquarters.

In a study conducted by Bulawa (2014:11) some school management teams indicated that they were not confident to implement performance management and one might assume that this is because of lack of appraisal skills especially where they use a tool that was designed in the developed world. Favouritism or biases may also occur where friends of management may get higher ratings resulting in poor performance being rewarded instead of high performance (Mpabanga, 2015:79). The participants of this study indicated that some individuals who got rewards on the excellence day held in June 2017 were known as low performers but were rewarded for outstanding performance and the criteria used to select them was also questioned. Kealitse (2013:49) argues that poorly designed performance objectives result in unsuccessful implementation of pay for performance programmes. Harris (2001:1183) found that there was a common perception among employees that performance related pay resulted in unfairness with low performers given high ratings leading to a decrease in commitment and motivation among employees. Teachers had raised concerns on performance related pay and have questioned the concept of measuring performance and the objectivity of school heads when rating performance (Bulawa, 2011: 84). Tomlinson (2000:34) found that teachers in the United Kingdom were concerned about performance related pay because they felt that it discouraged sharing of effective ideas among teachers as it would affect their chances to earn rewards as a result of performance. Teacher associations felt that such a move would also result in unhealthy

competition among teachers and create distrust among colleagues. The move was also viewed as discriminatory as it would benefit only a minority.

Gentle (2001:21) had the same view because performance pay would please only those who were rewarded and those who were not would be demotivated. Indicators for measuring performance have also been put under scrutiny. Propper and Wilson (2003:254) stated that the United Kingdom and the United States of America both used learner performance as a measure of performance without considering external factors to the school that may affect the performance of learners.

Perhaps there might be a need to widen performance measures if pay was to be linked to performance. In the context of Botswana, learners come from different home backgrounds and some of them may not necessarily motivate a learner to achieve at school. If such factors are not considered, teachers are likely to perceive rewards based on learner performance as narrow.

The performance appraisal system of an organisation can motivate employees if they consider it as fair and accurate. The appraisal process can have an important influence on employees' perceptions towards their work, their supervisor and their organisation (Thurston & McNall, 2010: 201). The appraisal process if not handled carefully can frustrate employees and result in their dissatisfaction if they feel the system is biased and does not reflect their true performance (Thurston & McNall, 2010:202). If employees perceive the appraisal process as unfair, the result is a workforce that has no enthusiasm on their work and their engagement is not fully realised (Rowland & Hall, 2013:195). Organisational justice can be useful when examining the outcomes of performance appraisal. Employees generally do not enjoy receiving negative performance appraisals, but if they view the system to be fair, their performance weaknesses are not likely to negatively affect their attitudes and behaviour against their managers and the organisation (McNall, 2010:202). Lack of appraisal skills on the part of school management may make the system to be perceived as unfair and teachers may feel negative about the system and implementation will not succeed. This could be one of the challenges that the implementation of performance management is facing in the ministry of education in Botswana.

If managers are not confident in implementing performance management, they may not give regular feedback on performance when performance reviews are due (Mpabanga, 2015:79).

Siddique (2010: 43) states that in developing countries there is a culture of avoidance of criticism of subordinates by managers who perceive that the subordinates respect them and this would affect the effectiveness of the implementation of performance management. Nel et al. (2011:420) say that the training of supervisors in setting performance standards, criticising employee performance constructively as well as motivating them is crucial in performance appraisal and would result in teachers being better performers. Lack of confidence by school managers may not result in such a situation.

The challenge that school managers may have is that some of them have not had formal leadership training during their professional training as teachers but were promoted from the classroom and may therefore lack appraisal skills. Some school managers may be reluctant to make negative judgements on the performance of teachers for fear of demotivating them and being accused of lacking managerial support and assistance in the improvement of performance (Prowse & Prowse, 2009:72). This may result in school managers rating poor performance as average. Organisational politics may also play a role in ratings and school managers may deliberately protect self – interests with biased and inaccurate ratings (Prowse & Prowse, 2009:72). The “hallo effect” may influence ratings if school managers lack appraisal skills. Ratings may only be based on recent events instead of using information gathered throughout the appraisal period.

School management teams are supposed to support and guide teachers to perform in a way that will lead to the achievement of school goals as per the performance plans (Molefhi, 2015:66; Mpabanga, 2015: 80). School management should review performance regularly to monitor and offer constructive feedback on the performance of teachers (Mpabanga, 2015:80). Nel et al. (2011:420) point that managers are accountable for the performance of their subordinates hence it is their duty to monitor performance, conduct reviews, offer feedback and act on unsatisfactory performance by assisting the employees to improve their performance. If one has no supervisory skills, this becomes a challenge. The reliance of Botswana on expatriates resulted in a leadership gap when most of them left the country and the locals who assumed these positions then faced a number of challenges (Dzimhiri, 2008:53).

4.4.8.6 Challenges of performance indicators

The other challenge that departments have faced is the application of the measuring tool (Mpabanga: 2015:80). Mahapa et al. (2015:21) argue that how to measure the output and outcomes can be a challenge for government programmes associated with performance management. Some of the outcomes in government programmes involve the collaboration of a number of ministries and it becomes difficult to credit a certain ministry with the accountability of a project. De Waal (2007: 72) argues that one of the challenges facing developing countries is lack of management skills and expertise in designing viable and sophisticated performance management systems. The tendency is to rely on systems borrowed from developed countries and they may not be suitable for local use. Lack of management training results in subjective measurements that are inconsistent with employee performance leading to the eventual demoralisation of employees (Mahapa et al., 2015: 21). Thomas (2011:32) reveals that lack of experience in using and developing performance management systems have resulted in ineffective implementation as well as the crafting of relevant documents. This is why most public departments in developing countries end up copying tools from developed nations and introducing them without considering if they are suitable for the local circumstances (Mahapa et al., 2015:21).

Heeks (2002:23) argues that every country is unique in political, cultural, political, social and economic settings making it necessary for each country to have a home grown strategy relevant to the experiences of the country. What might work effectively in one country may be a disaster in another country. Coming up with performance indicators in service organisations can be a challenge and failure to have appropriate performance indicators may lead to a situation where it becomes difficult to use collected data as well as decision making (Thomas, 2011:32).

4.4.8.7 Questionable performance and effort of employees

The effort of teachers has been questioned by senior government officials. Of the 37 384 candidates who sat for the Botswana General Certificate of secondary examinations in 2014, 25 186 learners attended government schools with the remainder in private schools or as private candidates (BEC, 2015:1). Candidates who were able to get grade C or better in both government and private schools were 5 796 representing a national pass rate of 25, 75% with five subjects (BEC, 2015: 1). In 2016 the total number of candidates was 35 465 in both government and

private schools and 25 016 attended government and government aided schools. Of the 25 016 candidates in government and government aided schools, a total of 6 368 obtained grade C or better in five subjects which is a 25, 5 % (BEC, 2017:1).

Participants revealed that parents were not happy with the performance of learners and this was perceived to be a national crisis. Participants said some parents had come to headquarters with names of teachers who should be transferred from schools in their communities because the teachers were always absent from school and this negatively affected school results. It was not easy for the ministry to deal with such issues. A participant had this to say:

There are times when a chief sends a messenger to headquarters requesting for the transfer of a certain teacher because of complaints of poor results from parents and it is not easy to deal with such cases.

In certain fields such as education, performance indicators are not easy to establish. Performance measures or indicators are easier to identify in the private sector than in areas such as education (Mahapa et al., 2015: 258). If measurement is based on factors such as time, cost, quality and quantity, it becomes problematic in areas such as education (Mahapa et al., 2015: 258). Results have continued to deteriorate and the blame has been laid on teachers. It is possible for results of learners to be affected by other factors such as the home environment but generally the blame is on teachers. The education ministry has had challenges in improving performance and public examinations have not improved as a result of implementing performance management in the ministry.

The issue of poor work ethic has been associated with the public service in Botswana. Hope (2003: 301) noted that the public service had a culture of indifference resulting in laziness, complacency and negligence of responsibilities and duties. This was a general problem and could be associated with the poor pass rate in public schools in Botswana. Hope (2003: 309) noted that there was a general decline in the public service in Botswana. In his address to the nation in 2006, the former President of Botswana, F.G. Mogae observed that the public service in Botswana had a poor work ethic which was below countries in the Southern African Development Community (Republic of Botswana, State of the Nation Address, 2006:18). This again could be the reason why the pass rate in both junior and senior secondary schools is not

improving. By 2010 the ranking of Botswana in competitiveness rankings by the World Economic Forum had dropped from 56 on 135 countries that had been surveyed to 66 and to 80 in 2011 (Modikwa, 2012:12; Owino, 2012:8). This could be as a result of poor work ethic.

In the education ministry the introduction of performance management was viewed as a way of trying to quell discontent on the poor performance of schools and was supposed to increase public confidence in the school system by tracking individual and institutional performance (Bashe & Jongman, 2006:23). Poor work ethic resulted in schools not achieving the required results and this challenge has been a big concern for the government (Bashe & Jongman, 2006:23; Nyamunga, 2006: 2). There was also public concern that teachers were not following the principles of the Botswana Public Service Charter which include regard for public interest; accountability; transparency; continuity; diligence and the duty to be informed (Chirairo, 2008:1; Sisa, 2014:177).

Salaries for teachers working in public schools are not as attractive as their counterparts in private schools. Some teachers in public schools tend to perform less as a way of equating their pay to the work they do and are not prepared to give extra effort (Taylor & Taylor, 2011:71). This is viewed as compensation for the difference in salaries and it contributes to a negative attitude towards teaching in a public school (Lesemela, 2014:5). The education ministry is marked by complaints of poor results at both primary and secondary level because of the low motivation and poor conditions of service (Ndlovu, 2011:2; Mpabanga, 2015:81; Marobela, 2008:431). The poor conditions of service in the public sector led to a month long strike by employees in 2011 (Ndlovu, 2011:2).

4.4.8.8 Lack of monitoring and evaluation skills

When performance management was introduced in Botswana, systems and structures for regular monitoring and evaluation of performance were also put in place (Mpabanga, 2015: 81). Government departments were requested to outsource non – core activities so that effort is concentrated on the co – activities of the departments and the education ministry was no exception (Molefhi, 2015:66; Mpabanga, 2015:81). It should however be noted that at national level project implementation, monitoring and evaluation is still a challenge as evidenced by dilapidated public school buildings and other infrastructure (Mpabanga, 2015:81).

Management teams in schools are supposed to be monitoring the implementation of these projects but they complain of lack of skills and training in monitoring projects (Mpabanga, 2015:81; Dzimbiri, 2008: 53). Botswana is not alone in this area and developed countries such as the United States of America, the United Kingdom, Germany and other developing countries have reported challenges in monitoring and evaluation of projects (Mpabanga, 2015: 81). Radnor and McGuire (2004:248) contend that in 2000 the United Kingdom formed the Public Services Productivity Panel made up of business and public sector leaders to provide new ideas on the challenges faced by public services in the provision of improved services.

Managers generally lack knowledge and skills on appraising subordinates. School managers lack skills on how to conduct an effective appraisal interview (Mpabanga, 2015:82). Most school managers depend on workshops for acquiring appraisals skills and these workshops seem not to fully equip them with the skills that could make them feel confident to conduct effective appraisal interviews (Dzimbiri, 2008:53). School heads also lack skills and competencies on giving constructive feedback as well as monitoring performance for the duration of the performance contract period (Mpabanga, 2015:82). Participants of the study revealed that headquarters was worried about this issue and a participant had this to say:

In our meetings this issue is seriously discussed and ways of training managers to have such skills are always suggested but it must also be noted that we are not specialist in this area.

As long as school management teams are not trained to be fully equipped with monitoring and evaluation skills, the implementation of performance management will remain a challenge for the foreseeable future. When teachers are promoted to positions of school heads, they are not fully inducted to acquire new skills that they need to fulfil their new roles. Monitoring and evaluating teacher performance becomes a challenge and this is made worse by negative perceptions on performance management.

4.4.8.9 Inadequate resources for effective implementation

The other challenge of implementing performance management is inadequate resources. For PMS to be implemented successfully there is need for resources such as paper for photocopying or computers because teachers have to be given information on the processes but this has not been the case in the ministry of education and skills development (Molefhi, 2015:65; Bulawa,

2014:9). Some management teams in schools say there are no funds allocated to schools for the use of implementing PMS and schools find it difficult to run effective workshops without adequate resources (Bulawa, 2014:9). Some schools have no computers or have one computer and it is difficult for all the teachers to group around one computer to access information during a performance management workshop and this has negatively affected implementation (Bulawa, 2014:9).

Studies have shown that without adequate resources, it is a challenge to successfully implement performance management (Bulawa, 2014:9). School managers say that the present meagre resources in schools have been stretched by the introduction of PMS and schools are finding it difficult to cope (Bulawa, 2014:9). School managers and teachers wonder why the ministry rushed to implement PMS when material conditions on the ground were not in place (Dzimhiri, 2007:6). The shortage of materials would not result in a favourable teaching environment and would negatively affect ratings of teachers. School managers would have preferred a situation where the shortcomings of the demands of PMS were first met and then gradually introduce the reform (Dzimhiri, 2007:6).

The challenge of resources in the implementation of performance management is crucial and public sector departments are known to scramble for resources and if they are inadequate, they create a huge blow in successful implementation (Mahapa et al., 2015: 21). Lathan (2003:312) argues that the implementation of performance management is initially labour intensive and if it is underfunded and there is lack of managerial capacity, this may pose ethical and practical challenges.

Time is also an important resource in successful implementation of performance management. When implementers are not given enough time to implement performance management, it affects their morale because they have to work under a lot of pressure (Brown, 2005:476; Desimone, 2002:23; Smith et al., 1997:14).

Lack of resources affects professional development in the implementation of performance management. A study conducted by Brown (2005:476) in the United Kingdom on the professional development of teachers revealed that although appropriate plans were formulated, school heads and teachers could not implement the reform because of shortage of time and

resources (Brown, 2005:476). Teachers became sceptical about the benefits of performance management as a result of the shortage of time and material resources.

Material resources and time in the implementation of performance management were perceived as important in the United States. A study conducted by Desimone (2002:23) revealed that time and material resources were crucial if implementation was to be successful. Smith et al. (1997: 14) in a study conducted in the United Kingdom also found out that implementation of school reform was negatively affected by lack of resources.

The implementation of performance management in the education ministry in Botswana was affected by shortage of material resources and the funds that had been allocated for the reform were just enough to pay BNPC consultants (Dzimbiri, 2008: 54). In a study by Bulawa (2014:9) school management teams in Botswana complained that schools did not have funds that were specifically allocated for the implementation of performance management and yet implementation of the reform needed resources such as paper, computers and money for conducting workshops. Many public schools did not have photocopiers and yet implementation required a lot of paper. Schools had no computers and teachers had to crowd around one computer and compete with learners who had to use the computer for their academic work (Bulawa, 2014:9). The participants acknowledged the challenge that schools had with resources and school managers always complained about lack of resources for effective implementation.

The view of school management teams was that for schools to successfully implement performance management in Botswana there was a need to have enough resources (Bulawa, 2014:9). The lack of resources had to be addressed if the implementation of performance management was to be successful in public schools in Botswana. Funds should be made available so that management teams can purchase materials that are required for workshops and other activities related to performance management. If there was a continuous shortage of resources teachers may develop a perception that performance was not important hence the government had not provided funds for successful implementation.

4.4.8.10 Performance management and school priorities

Some school management teams were of the view that the priorities of performance management were not priorities for schools (Bulawa, 2014:10). The feeling among these school managers was

that performance management as a reform was not for schools because of some of its priorities such as financial management which are not priorities for schools (Bulawa, 2014:10). Financial management and customer service skills are a priority for performance management and they are not seen as a priority area for schools. Some school managers were of the view that teachers had skills for teaching and producing good results rather than those other skills that are not part of teaching skills (Bulawa, 2014: 10). They were of the view that they did not need skills in financial management or human resources management because that is not teachers' work (Bulawa, 2014:10). The perception was that teachers needed skills and knowledge in assisting learners to pass examinations so that they could get good jobs and have a good future.

The other challenge is that school management teams feel that they have not had the right training to be able to implement the reform. They also do not have spare time to be trained in skills that are not relevant to the effectiveness of teaching and learning (Bulawa, 2014:11). The feeling among some school managers was that if they were to impose performance management responsibilities on teachers, it would result in a situation where schools spend a considerable amount of time on things that were not important to teaching and learning (Bulawa, 2014:11). School managers were of the view that performance management demands them to spend time on activities that were outside the school curriculum and had no relevance to the academic achievement of learners (Bulawa, 2014:11). One of the challenges is that some school managers did not see how performance management was relevant to the core business of schools.

The perception of school managers is that time should be spent on trying to improve the performance of learners because that is what parents and the ministry expected and the ministry reprimanded schools for doing badly in public examinations (Bulawa, 2014:11). Heystek et al. (2005: 17) contend that the issue of time is critical at a school and should be spent on the core business of a school which is teaching and learning making it difficult for teachers to spend time on appraisal processes. Some participants revealed that when some schools performed poorly in public examinations, school managers would blame performance management as having taken away teaching and learning time. A participant had this to say:

When analysing results with school managers, one of the reasons that is always given for poor results is the time spent on performance management activities clearly showing that school managers believe these activities are a waste of teaching time.

Some of the demands of performance management such as financial management and human resource management in schools should be a focus of administrative officers rather than teachers (Bulawa, 2014:11). School managers are of the view that it was not easy for them to explain to teachers how the implementation of performance management would positively affect the core business of a school (Bulawa, 2014:11). They feel that during the initial training there was no adequate explanation on how performance management would enhance the performance of learners in examinations. Teachers have found themselves spending a lot of time completing forms instead of teaching and this has made them view PMS as intruding into their work which is teaching (Bulawa, 2014:12).

Some school managers find it hard to explain to staff members how the implementation of performance would positively affect the performance of schools (Bulawa, 2014:11). The heads of houses who are supposed to spearhead the implementation of PMS in schools struggle to find the link between the priorities of PMS and those of teachers (Bulawa, 2014:11). Initially when performance management was introduced in the ministry that link was not adequately explained hence management finds it difficult to convince teachers and other staff members about the relevance of PMS in public schools. The perception is that the implementation of PMS in schools is robbing learners of contact time with the teachers who spend a lot of time completing forms. The preparation time for lessons is also affected as teachers have to balance that with the many forms they have to complete. Such a perception by both heads and teachers affects successful implementation of performance management. PMS is viewed as an intruder into the core business of schools (Bulawa, 2014:12).

The questioning of the relevance of performance management to the school system has been questioned elsewhere. In a study in Australia, Down, Chadbourn and Hogan (2000: 214) found that teachers' perceptions were that performance management was not relevant to teaching and learning and only a few teachers attributed their improvement in teaching to the introduction of performance management. The argument from teachers was that the appraisal was not associated with what they did in the classroom. Performance management was perceived as a managerial mechanism that school heads could use to control teachers. Smyth (2001:141) called for the rediscovery of the teaching and learning discourse so that it could be reasserted where it belongs. There is therefore a need for the ministry of education in Botswana to change the mind-set of

teachers so that they can perceive performance management as a management tool that is meant to improve the performance of teachers leading to improved performance of learners.

4.4.8.11 Lack of incentives to improve performance

When performance management was introduced there were no monetary incentives. The expectancy theory argues that employees perceive that there is a relationship between the effort they exert in their work, the performance achieved through the effort and the reward they get from their effort and performance (Lunenburg, 2011: 11). Employees are motivated if they believe that the effort they put in their work will result in improved performance and this will result in rewards. Reward has a valence because it fulfils the needs of the employee (Mahapa et al., 2015: 250).

The introduction of the performance based reward system (PBRs) which was introduced later includes rewards such as salary increase, promotion and non – financial rewards such as certificates or lunch with the director for those who have received high ratings (Mpabanga, 2015:77). The rewards that employees have been promised under the BPRS have not yet materialized and this has created some challenges of effective implementation (Bulawa, 2014:63). Studies have revealed that the PMS has had challenges such as lack of goal clarity on objectives of the initiative, performance targets, customer focus, the role of the employee and this does not seem to be in line with the goal setting theory (Kealisitse et al., 2013: 48).

If appraisals are for developmental purposes, they are generally done in an atmosphere of trust and openness as long as rewards are not dependent on them (Rowland & Hall, 2013:204). Reward based appraisals are likely to be done less objectively by the manager and more defensively by the subordinate because of the possibility of a promotion, pay rise or disciplinary procedure (Rowland & Hall, 2013:204). Subordinates may also be reluctant to confide their current weaknesses with their managers because this could negatively impact their chances of getting a reward or an opportunity for promotion (Prowse & Prowse, 2009:71).

The development of an effective reward system that would ensure that those who deserve to be rewarded actually get what they deserve can be a challenge. If one considers the number of employees in the ministry and assuming that most employees perform to levels that merit rewards, can the ministry afford to reward everyone who deserves to be rewarded without

exhausting the budget of the ministry (Dzimhiri, 2007:7). The ministry does not sell products produced by its employees that would enable it to make profit and be able to reward good performers. It would be almost impossible for the ministry to be able to reward every deserving employee and good performers who are not rewarded would be frustrated. As one of its rewards, the ministry offers lunch with the director for good performers. It would be interesting to find out how many employees in the ministry would value having lunch with the director as a form of reward? Some of the rewards introduced by the ministry may not have motivated employees to perform to the required standard. According to the expectancy theory, the reward should be something that the employee values. Participants acknowledged that the absence of monetary rewards had a negative impact on the motivation of teachers in the public schools in Botswana.

4.4.8.12 Managers of paper rather than people

The perception among school managers is that the amount of time spent on paperwork does not justify its usefulness (Bulawa, 2014: 64). School managers perceive themselves as managers of paper rather than people because of the volume and complexity of paperwork they have to handle (Bulawa, 2014:64). The amount of paperwork is viewed as unnecessary and has become a burden because of the amount of time school managers have to spend doing paperwork and looking at piles of forms completed by teachers (Bulawa, 2014:64). This perception has also trickled down to the teachers who feel that the amount of time spent on paperwork could be more useful if it was spent doing actual teaching.

School managers were of the view that the forms were not easy to understand as they are too academic for an average employee to understand and they have to spend a lot of time advising teachers on how to complete the forms that even themselves as managers do not completely understand (Bulawa, 2014: 64). A participant had this to say:

At a workshop some school managers suggested that the ministry should remove these forms as they were affecting the frequency of school managers from monitoring the performance of employees in schools.

The amount of paperwork has resulted in a perception that views PMS as having a negative effect on school management as well as teaching and learning (Bulawa, 2014: 64). School managers view PM as having taken away their time of managing schools and has also done the

same to teachers as they no longer had adequate time to teach. PMS is viewed as having more to do with paperwork than concentrating on the core business of a school and therefore has very little to do with improvement of performance but is seen as contributing to poor performance (Bulawa, 2014: 64).

4.4.8.13 Lack of support from regional offices of the ministry

School managers are of the view that their respective regional offices do not regularly contact schools to get feedback on the implementation of PMS (Bulawa, 2014:64). This is viewed as lack of support from government officials and frustrates management teams in schools making implementation of PMS more challenging. When school managers send reports on performance management to regional offices, they hardly get feedback from their superiors who are supposed to contact them regularly and advise them on the implementation of PMS (Bulawa, 2014:64). If there is lack of support and involvement by senior people, it becomes a challenge for performance management implementation to succeed (Mahapa et al., 2015: 21). The argument is that management has to articulate a vision for performance management that informs stakeholders on who is to benefit from the initiative (Mahapa et al., 2015:21) and the challenge at times is that managers introduce a performance management system with rules and leave it to run without taking a hands-on approach to motivate subordinates for effective results (Lathan, 2003: 311).

The perception among school managers is that government officials are only visible when they introduce a reform and after that they do not follow up either by just making a phone call to hear if the reform has taken off effectively (Bulawa, 2014:64). One school manager remembers seeing the regional schools manager only once but the official did not stay long to find out how the school was coping with the implementation of PMS (Bulawa, 2014:64). The lack of support frustrates school management teams. The participants were of the view that resources should be made available so that they can visit schools regularly.

Senior officials from the regional offices are supposed to be overseers of the implementation process of PMS and when they do not visit schools, it frustrates management teams of schools who end up feeling that there is no support and advice from those above them (Bulawa, 2014:64). This has a negative impact on the implementation of performance management in the ministry.

The participants of this study from head office indicated that there was a shortage of funds for them to visit regions and monitor implementation as well as find out what challenges management teams experienced in schools. The challenge was that no funds are put aside for monitoring purposes and some of the officials indicated that they depended on reports from schools to know how implementation was progressing.

4.5 CRITICISM OF PERFORMANCE MANAGEMENT

Performance management is supposed to improve employee performance but it is not a process without criticisms. It has been criticized for the following (Winstanley & Stuart-Smith, 1996: 69):

- Evidence that its implementation leads to improved performance is still inconclusive.
- It can result in undesirable outcomes by demotivating employees or in bureaucratisation.
- It is not easy to set performance objectives that are intangible, are flexible in response to change and include the whole job.
- The process may not have adequate time.
- It may lack subjectivity in the eyes of subordinates where managers may change ratings and supervision is perceived as spying.
- It is managerialist and has a unitary view of the organisation rather than having a pluralist view of the organisation.
- It is often asked if the process treats individuals as ends in themselves or just means to other ends.
- It promotes models of intrusive control.

4.6 CHAPTER SUMMARY

This chapter focused on the challenges confronting the ministry of education in implementing performance management. The chapter looked at the implementation of school reforms in developing countries and literature suggests that there have been challenges in this respect. Generally reforms that have been implemented in developing countries have been imported from

the developed world and some challenges relate to lack of adaptability where developing countries would not make changes on a reform to suit local conditions.

The discussion then went on to focus on the implementation of reforms in the education ministry in Botswana and these include the annual confidential report; job evaluation for teachers; the teacher performance appraisal scheme; secondary schools management development project and the pastoral system. The reforms were meant to improve teaching and learning as well as school management. The PBRS was introduced later and its contents were merged with PMS.

The chapter then focused on the rational for PMS and it includes the clarification of job responsibilities; increased employee performance; development of employee capabilities; shaping employee behaviour and aligning it with organisational values and goals; assists decision making on rewards and improvement of communication between employees and management. The rational for introducing performance management in the public sector in Botswana includes the desire to achieve the country's aspirations; restoring the confidence of the citizens in the public sector; improvement of service delivery and to be competitive in the global market.

The chapter went on to focus on general problems confronting the public sector in the implementation of performance management in Botswana. They include lack of performance feedback; lack of rewards for high performers; failure to measure employee performance using standard tools and lack of support of performance management by senior managers.

The chapter then focused on performance management in the school context and highlighted factors such as organisational culture and how it impacts implementation. The discussion centred on how changing the school culture through the introduction of performance management affects the existing culture which may lead to resistance to change.

Various challenges facing the ministry of education were discussed and they included poor work ethic; strained relationship between teachers and school managers; lack of school managers to lead implementation of performance management; use of ineffective methods to disseminate information on performance management; lack of appraisal and supervisory skills; challenges of measuring performance; questionable performance and effort of employees; lack of monitoring and evaluation skills; shortage of resources for effective implementation; performance management perceived as not relevant to school priorities; lack of rewards for high performers;

school managers spending more time on paperwork than managing teachers and lack of support from regional offices of the ministry of education. Lastly the chapter highlighted some of the criticisms of performance management.

CHAPTER FIVE

CHALLENGES CONFRONTING THE MINISTRY OF LOCAL GOVERNMENT IN PERFORMANCE MANAGEMENT

5.1 INTRODUCTION

The local government ministry is the largest ministry in Botswana and has more employees than any other ministry in the country. However it has limitations in that it has a limited revenue base and relies in central government for staff recruitment and funding (Sharma, 2010: 136). In 1998 the ministry had 18 000 employees (Department of Central Statistics, 1998:97) and the figure is now much higher (Tshukudu, 2014: 47). The challenges confronting the ministry are compounded by the political nature of the ministry where some employees are recruited through the recommendations of politicians and managers have challenges of supervising such employees (Tshukudu, 2014:47).

Most of the employees of the ministry work in rural areas where working conditions are not as good as those in towns and cities. Qualified and experienced people are not willing to work in rural areas and the ministry might have challenges of attracting qualified personnel. The ministry was the last to introduce performance management in 2006 and compared to other ministries, both managers and employees have had less experience in performance management than other ministries (Sharma, 2010:137). The employees of the ministry have to serve the interests of politicians in addition to serving community members.

Although the ministry was supposed to have learned about the challenges that confronted other ministries in implementing performance management, it would look like it faced its own challenges when it eventually introduced performance management (Sharma, 2010: 138). Introducing performance management years after the other ministries signals that they were challenges of even introducing it and one of them was the size of the ministry (Tshukudu, 2014:49). Performance management needs a lot of planning if it is to be introduced effectively and the belief in the ministry was that when it would be eventually introduced all the barriers to effective implementation would have been addressed (Tshukudu, 2014:49).

However, implementation barriers surfaced at the introduction of performance management in the local government ministry and the delay in implementation does not seem to have helped the ministry remove implementation barriers (Tshukudu, 2014:49). It is hoped that findings from this chapter will assist the ministry in identifying some of the challenges affecting effective implementation and find solutions of overcoming them.

The specific objectives of the chapter are to:

- identify challenges faced by the local government ministry in implementing performance management
- analyse how the challenges are affecting implementation of performance management in the ministry
- assess the impact of implementation challenges to the provision of quality service to customers

5.2 CONCEPTUAL DEVELOPMENT: LOCAL GOVERNMENT SYSTEM IN BOTSWANA

5.2.1 The local government system in Botswana

The legislative framework of local government in Botswana is contained in the following instruments: Local Government Act, 1965; Townships Act, 1965; Unified Local Government Act, 1977 and the Town and Country Planning Act, 1980 (Lekorwe, 2000:25). These laws provide local government with a number of roles and functions to perform. Legislation allows central government to exercise overriding powers over local government matters (2000:25).

The public sector in Botswana has had a challenge of service delivery since independence (Tshukudu, 2014:40). The decentralisation of functions from central to local authorities is one of the initiatives that were taken to try and improve service delivery (Tshukudu, 2014:40). Advantages of decentralisation include anticipated improved efficiency, improved equity and development, improved governance and poverty reduction (Tshukudu, 2014:44; Smoke 2003:9).

The ministry of local government in Botswana provides a variety of social services to rural and urban communities. The services include primary health, primary education, tertiary roads, water and development in remote areas, governance and community services (Lekorwe, 2000:26). The provision of these services has been decentralized to local authorities who are responsible for planning and implementing developmental programmes in areas that are under their jurisdiction (Lekorwe, 2000:26).

The participants from headquarters revealed that the ministry had challenges in providing services because of the size of the country. Some settlements were scattered and it was not easy to provide basic services in such a situation. The issue that was also raised by the participants in service provision was that of the Basarwa who lived a semi – nomadic life and it was a challenge to bring them together for the purpose of providing them with services.

Botswana has a two – tier system of government with central government headed by a president and local government headed by a mayor in cities and towns (Sharma, 2010: 135). The rural districts are headed by a council chairperson. The constitution of Botswana does not have a provision for local government and the relevant legislation for local government is the Local Government Act 2012 (Lekorwe, 2000:26). Guidance on issues such as policy and processes as well as funding is provided by the ministry. The ministry also formulates and monitors implementation of policies relevant to local government (Lekorwe, 2000:26). The ministry has certain powers over councils. The departments that are under the ministry include local government and development, district administration, tribal administration, local government service management, remote area development programme, sanitation and waste management as well as research and planning (Lekorwe, 2000:26). The bottom – up approach is used for planning developmental programmes and communities are involved in identifying developmental needs.

The ministry is responsible for the provision of basic physical infrastructure and ensuring that local authorities are functioning efficiently through good governance (Sharma, 2010:136). The ministry is also responsible for effectively representing central government on policy implementation issues and coordinating central government activities at local level (Sharma, 2010:136). The other role of the ministry is to mobilise resources and encourage community involvement in developmental activities.

5.2.2 The structure of Local Government in Botswana

Local government in Botswana has been used as an instrument of decentralisation and the participation of local communities in governance and service delivery (Sharma, 2010: 135). There are four pillars that shape local government in Botswana and they are councils which may be city, town or district councils; district administration headed by a district commissioner; land boards whose mandate is to allocate land in the rural areas and tribal administration headed by traditional leaders or chiefs (Sharma, 2010:135). Local government is presently made up of ten rural and six urban districts (four town councils and two city councils) as well as 16 sub – districts and four administrative authorities (Lekorwe, 2000:25). Sub – districts and administrative authorities came into being in 2009 and were given the power to make decisions on developmental issues but not on the following issues: increasing local revenue, involvement in international relations as well as formulation and guidelines of statutes (Lekorwe, 2000:25). The district headquarters is responsible for these decisions. As a way of bringing service nearer to communities, councils are allowed to establish service centres.

City and town councils as well as district councils act as agencies of devolution and they derive authority from statutes to enable them to perform their functions (Tshukudu, 2014:41). The main functions of the councils include primary health, roads, primary education, village water supply, social welfare and community development (Sharma, 2010:135).

The district commissioner is the head of the district administration and represents central government at district level (Sharma, 2010: 135). Central government allocates functions to the office of the district commissioner whose office is viewed as an instrument of de – concentration (Lekorwe, 2000:26). Major functions of this office include the coordination of rural development activities and the district commissioner assumes the position of chairperson of the District Development Committee (DDC). The committee also includes representatives of the district council, tribal administration, land board and representatives from other government ministries (Lekorwe, 2000:26). The primary role of the committee is to coordinate development plans for the district.

The twelve land boards are responsible for allocating land in the rural areas and half of the members of the board are elected by the community at a local meeting of the village (Kgotla) and the minister of lands appoints the other half (Tshukudu, 2014:43; Lekorwe, 2000:26). The

land boards allocate residential, agricultural and commercial land to community members, a role which previously was the responsibility of chiefs (Sharma, 2010: 136). The land boards derive their power from statutes and they work closely with tribal administration and district councils in discharging their duties.

Chiefs have continued to play a significant role in local government in Botswana and their responsibility is tribal administration. It should however be noted that since independence the powers and functions of chiefs have been reduced (Mosha, 2007: 3). Their responsibilities include maintaining the customs of their communities as well as being spokespersons for their communities on issues related to customs (Sharma, 2010:135; Mosha, 2007:3). In addition to chiefs, tribal administration also includes sub – chiefs, village headmen, administrative staff and local police (Sharma, 2010:135). The chiefs chair meetings at the kgotla, which is a traditional gathering for consultation to enable a two – way communication between government and the community on issues that affect them such as formulation and implementation of public policy and development plans for the village (Sharma, 2010:136). Chiefs also act as presiding officers over customary courts in the village and they are also ex – officio members of district councils (Sharma, 2010:136). The chiefs also meet at the House of Chiefs (Ntlo ya Dikhoši) to deliberate on different issues. When the researcher was collecting data from one of the participants at headquarters, one of the chiefs came to the same office to collect some documents. The researcher was impressed by the chief's communication skills. His command of the English language was impressive. He spoke in English throughout his conversation with the officer. When he had left the participant told the researcher that the chief was a paramount chief. The participant informed the researcher that paramount chiefs had a higher status than other chiefs and were more respected hence she had to be on her feet when the chief came into the office.

5. 3 RESEARCH METHODS

Data for the chapter were collected through interviews and focus group discussions with officials of the local government ministry. The officials from the ministry numbered 40 and this was inclusive of the five who made up the focus group. Data that was collected through interviews included the challenges that that local authorities experienced in implementing performance management in the ministry and how this affected the implementation of performance management. Collected data through interviews also included the challenges faced by the

ministry in providing service to customers as a result of implementation challenges of performance management. Secondary sources were also used to collect data (books, articles, newspapers reports, journals, documents on rules and regulations) on the structure of local government in Botswana and its structure, review of performance management globally and challenges facing the implementation of performance management in local authorities in Botswana.

5.4 RESULTS AND DISCUSSION

5.4.1 Managing change in the public sector

Change management can be defined as an approach that is meant to transition organisation members from the current state to the one that is desired for the future (Sacheva, 2009:109). The process is aimed at empowering employees to embrace changes in the organisation. Change management can either be reactive where change reacts to the changing environment or proactive where change is meant to achieve desired goals (Sacheva, 2009: 109). Managing change is not an easy task and there is no one right way of doing it (Nogrased, 2011: 14).

Literature suggests that managing change can be a challenging process which needs to be handled carefully in order for the implementation of change to succeed. In order for change to succeed, there is need to create a shared vision, communicate the change to all stakeholders, institutionalise the change and then monitor the results (Philippiadou et al. 2008:434).

Changes on public sector improvement that have been imported from the private sector continue to be implemented regardless of the unique features of the public sector from the private sector (Piercy, Phillips & Lewis, 2013: 976). It is important to consider the distinct features of the public sector when implementing change so that the change does not fail. The public sector is increasingly implementing change programmes that are borrowed from the private sector and performance management is an example of these (Micheli & Kennerley, 2005: 127). It is important to consider the techniques that are used and see whether they can be effective in the public sector as well (Smart et al., 2004:7; Soltani, Lai & Mahmoudhi, 2007: 157).

Factors that should be considered when looking at public sector change include the context which refers to the external and internal environment of an organisation such as the political or institutionalization of government departments (Philippiadou et al. 2008:434; Kuipers et al.

2014:2; Meier & O'Toole, 2011:287). Under context, the features which are unique to the public sector should also be taken into consideration (Boyne, 2006:372; Rainey, 2005:34). The political – administrative set up of public organisations affects change and should be considered (Pollitt & Bouckaert, 2003:59).

The other factor is the content which refers to what should be changed such as strategies, structures and systems of the organisation or an issue such as the NPM (Higgs & Rowland, 2005:132; Kuipers et al. 2014:2). Programmes and strategies that do not seem to work may be stopped and employees who were doing those tasks may be moved to other tasks. If they do not have the required skills, they may be sent for training.

Another factor is the process factor which includes interventions and processes that are involved when implementing change (Philippidou et al, 2008:434; Kuipers et al. 2014:12). The criterion variables which refer to outcomes of change include the attitudes, behaviours and experiences of the people involved in the change (Philippidou et al, 2008:434). Leadership of change is another factor that should be considered (Higgs & Rowland, 2005:132). The involvement of senior management is said to motivate employees when a change is implemented in the public sector because management provides a clear vision and agenda that inspires subordinates (Parry et al., 2010:610). The support of senior management is important in overcoming cultural challenges especially where some employees might still want the traditional ways of doing things.

The nature of change can be considered from a number of perspectives and it can be incremental or radical. Change can be explained using different orders as follows:

Table 5.1: Orders of change

Order	Description	Reference
1 st : Sub system	- Adaptation of systems or structures - Takes place in a part of a department or sub – system -Is incremental	Burnes, 2004:889
2 nd : Organisation	-Transformational change - Movement in core organisational paradigms -Organisation wide -Whole systems change	Burnes, 2004:889
3 rd : Sector	- Identify change - Cross – organisational change - Change spans specific organisational boundaries - Affects many organisations/ sector – wide change	Burnes, 2004: 889

Public administration literature uses the term “reform” rather than “change” and the concept “reform” is viewed as being narrower than change because it is intentional and designed (Pollitt & Bouckaert, 2004:16). Implementation of reforms vary from country to country with countries such as the United Kingdom and the United States of America using “top – down” approaches while other countries use “bottom – up” approaches (Pollitt & Bouckaert, 2004:16).

Drivers of change in the public sector may be the changing demands of clients, new technology or financial crises (Askim, 2009:1007). The other force for change is government and this may be influenced by policy change, new regulations of changes in financing (De Boer, Endersand & Leisyte 2007:32).

The interaction between the organisation and its environment may provide the context to manage change with some public organisations shaping their own context (Christiansen, 2006:505). The theoretical frame that may be used to guide change may be change management theory or institutional theory (Christiansen, 2006:505). Institutional theory argues that change is a result of an organisation’s environment where the organisation has to conform to the pressures of the

environment rather than implementing change to improve efficiency (Kickert, 2010:492). Change management theory emphasises that organisational change is a rational process that is generated intentionally by change agents (Kickert, 2010: 492). One participant had this to say:

It is not easy to change the way things are done in the public service. Management support is crucial if changes such as performance management are to work effectively. Unfortunately not all managers are doing that presently.

When analysing the content factor, it can be realized that change is done for a certain purpose. First order changes may include the introduction of new processes, systems and procedures which may involve performance measures (Plowman, 2007:523). First order changes have no effect on primary processes in the organisation although they may be organisational wide they do not change the entire organisation or sector (Plowman et al., 2007: 523).

While the first order changes may include organisational structure, second order changes include organisational culture, climate as well as other behavioural factors (Plowman et al., 2007:523). Third order changes generally include content related reforms such as privatisation, merging of departments or welfare reforms (Askim et al., 2009:1007). These changes generally address the content of policy or reform.

In the public sector change can be an interchange between reform waves and incremental reform (Reichard, 2003: 349). Limitations of this type of reform include poor project management, weak participation and involvement by employees as well as lack of interest from politicians (Reichard, 2003:349). Most of these are bottom – up innovations that require informal and voluntary reform cooperation with administrators as the main drivers, local government think tanks play their role and politicians play a passive role (Askim et al., 2009:1009). Consultants have a strong influence in such change with academics getting involved at a later stage of the change (Askim et al., 2009:1009).

Rusaw (2007:351) proposed the following four approaches to public sector change:

- a means – end change that is rational and uses a top – down planned approach – examples include Total Quality Management (TQM) and re – engineering
- an incremental change of small – steps that is decentralised and is focused on visible results and can be quite effective if there is no external approval
- a pluralistic approach that has a number of mental models and can be used to solve difficult challenges
- an individual approach where change becomes a learning process and the organisation changes through individuals and groups with behaviours learned formally or informally resulting in improved service provision or the invention of new service system

5.4.2 Resistance to change

For change to be implemented effectively, employees should support it. There is a lot of literature on employee resistance to change and authors such as Kotter (1996) and others have contributed on how employee resistance can affect change processes (Oreg, 2006:80). Vann (2004:51) argues that employee expectations do not play a major part in resistance but that public service bureaucracy and private business tools such as policies, rules and regulations are more influential in causing resistance to change. On the other hand Oreg (2006:81) views personality, context of the change and anticipation of unwanted outcomes as major influences to employee resistance to change and change processes. Vann (2004:51) considers employee expectations as not influential but policies, rules and regulations of the public sector as major players in influencing resistance to change. White (2000:169) is of the view that the top - down management approach leads to employee resistance.

Change strategy can help minimise employee resistance (Oreg, 2006:81). A top – down management approach to change is likely to increase employee resistance (McNulty & Ferlie, 2004: 1392). Employees are likely to react positively or negatively to change as a result of cognitive, emotional and intentional factors (McNulty, & Ferlie, 2004:1392).

D’Ortenzio (2012:62) argues that resistance to change could be a result of lack of clarity on the nature of change to the employees and how it is going to affect them, the change itself can be

interpreted in various ways, employees having strong forces influencing them against the change and when employees are pressured to accept the change without their input into the change. If the change does not take note of the already established institutions of the employees, it is likely to be resisted (D'Ortenzio, 2012:62).

Other causes of resistance may also include uncertainty about job security; lack of confidence in management; pressure from colleagues; poor relationships among work teams; uncertainty about status; interference with customs and traditions; poor diplomacy and timing as well as personality clashes (Schuler, 2003:1). Resistance to change may also be caused by lack of confidence on required skills for the change; overloaded and overwhelmed by the new demands and fear of hidden agendas of the change (Schuler, 2003:1). A participant from the ministry said:

The resistance to performance management in the ministry is affecting its implementation negatively and the challenge is that some employees have influence in the departments. They have the support of other employees at the departmental level because of their influence.

To minimise resistance to change there is need to communicate the need to change, the organisation's ability to change, seek support for the change and explore the appropriateness of the change (Oreg, 2006:82). The quality of information that employees receive on change is vital in making them embrace the change (Oreg, 2006:82).

5.4.3 Performance management and organisational culture

Organisational culture refers to the assumptions, values and artefacts of an organisation (Laegreid, Roness & Verhoest, 2011: 1321). Assumptions can be said to be ingrained subconscious views of people as well as their social relationships that are generally perceived as obvious (Laegreid et al., 2011:1321). Values are preferences for alternative outcomes including ways of achieving those outcomes while artefacts include the solid or physical representation of culture such as rituals, traditions, slogans as well as myths (Laegreid et al., 2011: 1321).

Cultural change can be viewed as a situation where previously held unifying and homogenous values are replaced by new ones (Parry & Proctor-Thomson, 2010: 379). Historically public organisations have been characterized by a system of rational rules and procedures, formalised decision-making processes, structured hierarchies and promotion based on one's administrative expertise (Parry & Proctor-Thomson, 2010:379). The other feature is that they are dominated by

political control rather than market control as in the private sector and political considerations have tended to outweigh financial considerations (Parry & Proctor–Thomson, 2010: 379). Public organisations have tended not to adapt or take risks and have lacked moving towards outcomes such as productivity and efficiency.

Literature on management argues that public sector organisations require a culture that stimulates innovation, flexibility and change so that they are able to deal with reforms (Dorabjee, Lumley & Cartwright, 2003: 205). Although the public sector does not experience the pressure of competition as in the private sector, environmental factors which include technological development, economic fluctuations, social change as well as globalisation demand organisations to adapt. It is therefore important for the public sector to develop cultures that stimulate innovation to increase performance (Parry & Proctor – Thomson, 2010:383). NPM reforms attempt to make public sector organisations more innovative, adaptable and flexible (Bumgarner & Newswander, 2012:549; Christensen & Laegreid, 2011:132).

The question to be asked is to what extent can politically imposed reform programmes enhance the development of innovative cultures in the public sector where the sector has been dominated by other cultures. Culture is said to be a relatively stable factor in organisations and may not be easily changed through rational top – down initiative means but this is not to say that it becomes static when it has been developed (Wynen & Verhoest, 2015:360). When a reformer changes the structure of an organisation, parts of the culture that do not support innovation and existed before the reform will still persist long after the introduction of the reform (Wynen & Verhoest, 2015:360). Organisational culture is said to be dynamic and in most cases will continue to be shaped by environmental changes in and outside the organisation. If culture is dynamic, it implies that external reforms have the potential to some extent to steer culture into the desired direction of the organisation (Wynen & Verhoest, 2015:360).

Reforms that were introduced had to import techniques that were meant for profit making organisations in the private sector. NPM techniques that were meant to “reinvent government” shifted emphasis to achievement of results through entrepreneurial management strategies; mission statements as well as performance management and this affected the culture of public organisations (Pollitt, 2009: 287). A developmental culture replaced the hierarchical culture and public organisations had to copy best practices of running organisations from the private sector.

Reforms that were introduced in 1980s and 1990s in developing countries generally reduced the size of the public service and wage bills but failed to improve performance (Owusu, 2005: 5). Even the reforms that were earmarked to improve performance in the public sector failed to achieve the desired goal (Owusu, 2005:5). This could have been as a result of failing to tailor the reforms to the constraints of specific countries and the culture of public sector organisations in those countries. Some participants were of the view that the introduction of performance management had changed the culture of the public service and this is why there was resistance. One participant said:

Managers are no longer allowed to use government vehicles after working hours and this change of culture as a result of PMS is obviously not something they can gladly support. To them it is like they have lost a benefit because of PMS. Previously they would use the vehicles during weekends for their personal use.

It is important to consider both the internal and external environments in which public sectors operate and the way in which organisations adapt and integrate from the culture and corporate identity of those organisations (Owusu, 2005:8). Public sector reforms may not achieve the desired results if effort is not made to try and understand how the organisations create, sustain and transmit their culture and how change might affect performance as well as the culture of these organisations (Owusu, 2005:8).

It is important to understand that culture is central to any change process as well as the achievement of goals and the public sector is no exception. Concern has been raised that NPM techniques might conflict with the attitudes, values and culture of public organisations (Wynen et al., 2014: 47). There is a view that strategies that are meant to reform the public sector should take into consideration the existing culture of these organisations (Wynen et al., 2014:47). For a change process to succeed, managers should understand the culture of the organisation so that change strategies that are developed will be appropriate for the organisational context.

Some organisations have cultures that support, encourage and reward good performance while others promote a culture of continuous poor performance (Dartey–Baah, Amponsah–Tawaiah & Sekyere–Abankwa, 2011: 60). The culture of an organisation influences how employees perform their tasks and if the culture promotes good performance, reforms for improving performance

and efficiency are likely to be embraced. Participants were of the view that before the introduction of performance management, public sector culture promoted complacency and things have now changed. One participant had this to say:

A manager could spend a week at the farm before the introduction of PMS and no one would ask. Things have changed and that change of culture has not been easy for them.

De Waal (2003:695) states that organisation culture that focuses on the use of processes of performance management to improve performance is vital for implementation success. A culture of open communication and trust in performance information is important for implementation success. Martinez (2005:7) highlights the importance of the benefits of implementing performance management as change in the behaviour of employees; tolerance for failure; appreciation of transparency of information and improvement of cooperation among employees and management, leading to a culture that appreciates change. The implantation of performance management requires an organisation to go through a cultural change.

The challenge that the public sector may be facing in implementing performance management in Botswana could be associated with organisational culture. The culture of the public sector in Botswana does not support performance and supervisors have a challenge of trying to change the existing culture to one that supports performance. The challenge with culture is that it takes time to change and it could take some time for the public sector to have a culture that supports performance.

5.4.4 Challenges of implementing performance management

Literature presents a number of challenges that the public sector faces when implementing performance management and they include the following:

- The management style of entrepreneurship and market orientation as well as organisational flexibility have been associated with the private sector and importing them into the public sector for the implementation of performance management can be a challenge (Barrett, Balloun & Weinstein, 2005:13).
- For implementation of performance management to succeed there is need for top management to support the initiative and implementation has been a challenge where top

management has tended not to fully support implementation efforts (Chakrabarty & Tan, 2007:197).

- Lack of training for both managers and employees has proved to be a challenge especially where there is resistance to accept change. Training and awareness of the change to be implemented plays a critical role in preparing employees for the change so that they support implementation (Johnson & Swisher, 2003: 13).
- Cultural change is another challenge when implementing performance management because both subordinates and management have to shift from the traditional way of doing things and that includes changing values of the organisation which may lead to resistance (Coronado & Anthony, 2002:95). If the organisation did not have a culture of performance, the change could lead to resistance from employees. What to measure and how to measure it can be a challenge in the public sector because of the uniqueness of the sector (Coronado & Anthony, 2002:96).
- The performance agreement can be a challenge to both managers and subordinates since they have to be clear about what has been agreed and whether the agreement is realistic and targets can be met in the stipulated time. There might be a situation where the subordinate sets easy goals so that they can be rewarded for performance (Hensley & Dobie, 2005:85).
- Customer satisfaction which is influenced by quality service is key in successful implementation of performance management but the challenge could be in defining what quality service is and who says the service is quality? Is it the customer who says the service is quality or it is the supervisor and quality is a relative term and it can be a challenge if there is no customer satisfaction survey (Coronado & Anthony, 2002: 95.).

Sparrow and Hiltrop (1994:36) include the following as some of the reasons that may be challenges to successful implementation of performance management:

- Lack of support from top management
- Negative perceptions by supervisors who view performance management as an additional duty that will take a lot of their time
- Failure to measure performance because of subjective performance objectives

- Initial performance objectives losing their importance towards the review time and no longer perceived as critical success factors
- Inability of management to provide constructive feedback or resolve conflict emanating from review meetings

5.4.5 Objectives of PMS in the public sector in Botswana

The government of Botswana introduced PMS to achieve the following objectives (Mutahaba, 2011:44):

- To introduce a change management framework that would provide planning to ensure that citizens get quality service through efficient use of national resources
- To increase the capacity of the public service and make it more efficient and effective to attain required levels and compete globally
- To enhance the capacity of public employees and improve their productivity
- To achieve national visions through the efforts of the public service

5.4.6 Characteristics of PMS in Botswana

The following are characteristics of PMS in Botswana (Mutahaba, 2011:44):

- PMS is characterized by decentralisation and government is not responsible for performance planning of directors and employees. Government provides the national vision, and directors of departments can then derive plans from the national vision.
- Directors and public servants should have a clear understanding of how quality performance can be achieved. All public servants should be clear about the mission, vision and the direction the country is taking.
- Supervisors and subordinates should collectively be involved in planning performance goals, targets and how the reviewing process will take place.
- PMS to be mandatory in all departments and deserving employees to be rewarded according to their performance.
- The national vision to guide activities of both departmental directors and subordinates. Strategic plans to be a component of PMS.

5.4.7 Performance management in local government

Performance management in local authorities is generally concerned with political and managerial accountability (Guthrie & English, 1997:17; Sinclair, 1995:225). Literature on performance management in local government is said to be less strategic in focus because it focuses on efficiency rather than effectiveness (Kloot & Martin, 2000: 235). Performance measurement in local government is biased towards efficiency rather than effectiveness because of the ease of measuring efficiency (Kloot & Martin, 2000: 235). Palmer (1993: 34) found that indicators used in local government were related to costs, utilisation rates, volume of service, time rates as well as productivity and they are all measures of efficiency rather than effectiveness.

There is pressure on local authorities to plan for the future and increase customer focus (Flynn & Talbot, 1996:13). In an attempt to increase customer focus, local authorities face a number of challenges including budget constraints and cost reduction strategies (Flynn & Talbot, 1996:13). Regardless of these challenges local authorities in countries such as Australia, New Zealand, the United Kingdom and the United States of America have implemented performance management successfully (Kloot & Martin, 2000: 236). For example in Australia local authorities are required by legislation to prepare annual management plans designed to enhance accountability (Palmer, 1993:34). Local authorities in Australia have increased their focus on strategic planning and customer service as a result of introducing performance management (Dixon, Kouzmin & Korac – Kakabadse, 1998: 3; Atkinson, Waterhouse & Wells, 1997: 31). In the United Kingdom performance management in local authorities became popular in the 1980s because of pressure from central government, increased public expectation and consumerism as well as the changing culture and attitudes of managers in councils (Ghobadian & Ashworth, 1994:38).

Local authorities have to manage how they are perceived by communities by focusing on how the general community views their performance and how customers who use council services perceive their performance (Kloot & Martin, 2000:241). As part of service satisfaction councils have developed customer service charters to enable customers to be aware of what to expect from council employees in terms of the quality of service (Kloot & Martin, 2000: 241). Service charters should be designed to allow for service delivery that is constant in improvement.

Local authorities can succeed if they are able to learn and innovate (Kloot & Martin, 2000: 243) and managerialism requires councils to change from bureaucratic to an innovative paradigm (Dixon et al., 1998:3). However, Kloot and Martin (2000: 243) argue that councils are quite weak when it comes to learning and innovation because of the heavy workload and in most cases innovation and learning in local authorities occur on an ad hoc basis (Kloot & Martin, 2000: 243). The participants of the study revealed that there was interference from politicians and this derailed the efforts of employees to provide quality service to the citizens. A participant had this to say:

The challenge that we sometimes face is that we have local community members to serve and we want them to have a positive perception about our services and at the same time we have politicians who want certain services that may be personal and it diverts our attention from serving the community.

Table 5.2: Strategic choice in local government performance management

Traditional Approach	Performance-Oriented Approach
Top – down central government council – imposed, control – oriented performance measurement	vs Strategic – collaborative development of a PM system involving all stakeholder
Imposition of universal, industry wide measures with less validity for certain councils	vs In – house development of valid council specific measures to be used for organisational improvement and benchmarking with similar councils
Periodic reporting for the purpose of meeting control requirements of senior managers, councillors and central government	vs Real – time, up – to – date performance information for all stakeholders to monitor progress, demonstrate accountability and manage outcomes
Piecemeal, myopic approach with a focus on the measurement process	vs Integrated PM system across the organisation focused on value – for money service delivery and organisational improvement
Focus on financial measures only	vs Focus on financial and non - financial measures: a result and determinants approach

Source: Kloot & Martin, 2000: 248

If a local authority focuses on financial measures at the expense of the concerns of the community, internal business processes and innovation as well as learning, there might be no development and performance improvement in the long term (Kloot & Martin, 2000: 248). Local authorities need public involvement in local decision making so that objectives of councils

reflect the concerns of the community. For improvement to take place there is need for managers and policy makers to pay more attention to the attitudes and beliefs of both the community and employees.

It is important for an organisation to understand what performance management encompasses. Performance management focuses on the following (Armstrong, 2009:27):

- organisational and individual objectives
- it include both results and employee competencies
- it is an all year round process
- ratings may not be included in the process
- it is forward looking
- it focuses on employee development and employee performance
- it is a joint process
- it is a flexible process
- it is tailor made
- there is minimum use of paperwork
- its implementation may not necessarily be linked to pay
- it applies to all employees in an organisation
- line managers own it

5.4.8 Performance management in Botswana's local government

Local authorities are the branch of government nearest to the communities and it is critical for them to be able to implement projects successfully hence the relevance of performance management in this sphere of government. Notshikila and Govender (2014:5) say that it is important for communities to evaluate the performance of local authorities to ensure that resources are not wasted. Evaluation of local authorities enables communities to see if goals are being achieved. Local authorities should become front – line agencies of delivering quality service to communities (Notshikila & Govender, 214:5).

5.4.9 Challenges confronting local government in performance management

The public service in Botswana has grown tremendously with about 9 000 employees at independence to about 100 000 employees (Department of Central Statistics, 1998:97) and the

current figure could be more (Tshukudu, 2014:41). Of this figure local authorities employ about 18 000 people. Mogalakwe (2004:21) notes that there has been growth in the public service but poses the question of whether the management style has changed to match the growth over the years and if it has not changed, what is the impact on service delivery. Growth of the public sector including local authorities has resulted in increased absenteeism, reporting late for work, poor public relations and this has been met by public criticism (Tshukudu, 2014:41). This has posed serious challenges to managers in the public service. Some of the challenges include those discussed below.

5.4.10 Negative perceptions on performance management

Participants from the local government ministry revealed that employees of the ministry both at managerial and non – managerial level had a negative perception of performance management. The view of the study participants was that performance management was perceived as irrelevant to the public sector especially measurement of performance. Performance management was perceived as relevant to the private sector where it was easier to measure the performance of employees. The challenge of measuring employee performance was perceived as problematic because there were situations where the measurement was qualitative and there was room for subjectivity with some measurements. The challenge with qualitative measurement of performance is that it can be open to abuse by those who are supposed to measure the performance of an employee.

Among other aims performance measurement should aim at the following: increasing employee motivation; provision of timely performance feedback to employees; provision of fairness in the organisation's structure; provision of equal opportunities and the supporting of employee performance improvement (Griffith, 2003:73; Key, 2003:33). This implies that performance measurement should be perceived as fair and just by the employee. If the employee perceives performance measurement as unjust the exercise would not achieve its goal of motivating the employee.

The participants of the study revealed that most managers were not trained in performance measurement hence the negative perception of performance management because of lack of knowledge on activities associated with performance management. If management has negative perceptions about the reform, employees are likely to have the same perception because of the

influence of managers. Participants were of the view that negative perceptions are also as a result of lack of motivation to perform. A participant had this to say:

Employees are not motivated to perform because there are no incentives such as pay increase for high performers. Some workers feel that even if there were rewards, supervisors would not give them good ratings because of bias. Employees feel demotivated.

5.4.11 Limited capacity

Local authorities in Botswana are faced with a number of challenges. One of the challenges is the limited capacity of local authorities (Sharma, 2010: 137; Mosha, 2007:14). This has negatively affected the implementation of plans and some local authorities do not have experienced officers to monitor the implementation of projects (Mosha, 2007:14; Sharma, 2010:137). There has been a marked improvement since the country gained independence but local authorities still had limited capacity which has made it difficult for them to perform their functions satisfactorily (Sharma, 2010:137). This has limited their autonomy and they have to rely on assistance from central government departments to enable them to perform their functions. Ministries such as education, health and water affairs have been called upon to assist local authorities from time to time.

Councils are supposed to be autonomous statutory bodies but because of their limited capacity, they have tended to operate like de – concentrated agencies of the local government ministry which to a large extent controls and guides them (Sharma, 2010:137). They are not independent in terms of sources of revenue and have to be funded by central government for their developmental programmes which has to finance 97% of recurrent expenditure of rural councils and 80% of urban councils (Sharma, 2010:138). Local authorities depend on central government for financial assistance to implement developmental programmes, recruitment and training of employees. This may negatively impact planning at local level because of lack of financial independence and also leaves local authorities at the mercy of central government in terms of the implementation of plans (Mosha, 2007: 14).

Local authorities have a challenge of recruiting qualified personnel that would enable them to effectively perform their functions. The challenge has been to attract, retain and pay competitive salaries independently without the support of central government. Central government has set up

the Local Government Service Management (LGSM) which it uses to recruit, train, promote and regulate conditions of service for local authority employees (Sharma, 2010:138; Tshukudu, 2014:45). This service has assisted local authorities to employ qualified personnel but it limits their autonomy and strengthens central government control over local authorities (Sharma, 2010:138; Mosha, 2007:14; Tshukudu, 2014: 45). This arrangement results in employees being more loyal and accountable to the administration of LGSM than the local authorities. There is however a steady improvement in this regard with central government giving local authorities more input in decision making regarding their employees (Sharma, 2010:138).

Challenges of qualified personnel, limited financial resources and public participation as well as constraints in central – local government co – ordination management and development planning have weakened the effectiveness of local authorities (Tshukudu (2014:45). The shortage of qualified personnel as well as the quality of training made available to them continues to be a concern for local authorities. Bakwena (2006:47) argues that there is a need for local authorities to be able to attract, retain and motivate qualified personnel. One of the major challenges is that qualified people are not willing to work in rural areas and local councils do not have attractive benefits that would make individuals agree to be transferred to rural areas (Bakwena, 2006:47). Qualified people opt to work for the private sector in urban areas where benefits are more attractive. The ministry's headquarters is where most qualified staff work and yet there is not much work to be done compared to district councils (Mpabanga, 2005:123). A participant had this to say:

Local authorities should note that employees in villages work under difficult conditions including shortage of resources. Such employees should be motivated by paying them an allowance for working under difficult conditions.

The introduction of PMS is one of the decentralisation initiatives by central government but was only introduced to local authorities in 2006 although in other ministries this was done in 1997 (Tshukudu: 2014: 45). In a study conducted by Tshukudu (2014:45) districts are not sure if the implementation of performance management has resulted in improved service delivery. Lower and middle managers in local government view the performance management system as impractical because it is aimed at changing work practices rather than the attitudes of the officials (Tshukudu, 2014:45). The managers are of the view that the challenge is in the attitudes

of individuals rather than work processes. Since performance management is about changing the way people conduct processes, improvement of service delivery might not be possible. According to DPSM (2003:92) the root of inefficiency and ineffectiveness are negative work attitudes. Participants were of the view that attitudes can be changed if DPSM tried to address challenges that employees face especially those in villages. A participant had this to say:

Some officers in villages complain about issues of privacy because they have to share accommodation provided by local authorities. This demotivates them.

In most cases the working environment in local authorities allows planning to take place but implementation becomes problematic because of disturbances in relation to emergencies that need the attention of officials (Tshukudu, 2014:45). The introduction of PMS in local authorities was supposed to encourage decentralisation of decision making to lower and middle management levels but this has not been the case (Tshukudu, 2014: 45). Central government still has a lot of influence on human resource functions as well as rewarding systems thereby defeating the goals of PMS.

Botswana lacks a holistic cross – sectorial decentralisation policy statement and it remains unclear what decentralisation is supposed to achieve (Tshukudu, 2014:46). Decentralisation therefore appears to be ad - hoc with some decentralised functions to local authorities such as financial management, human resource management and information technology services still in the hands of central government (Tshukudu, 2014:46).

The strengthening of local government is influenced by the local level political leadership (Sharma, 2010:138). There has been growth in local leadership since independence but the capacity of councillors is still negatively impacting the effectiveness of councils (Sharma, 2010:138). There is a need for grassroots teams such as Village Development Committees to have more capacity. Community participation also needs to be strengthened (Sharma, 2010:138). The participation of local politicians has largely been limited because of the lack of capacity and central government's decentralisation of authority has been largely confined to bureaucrats who run local councils (Sharma, 2010:138).

Government has proclaimed that there is bottom – up processes in local authorities but this has not been effective and still remains a dream as most of the processes are top – down because of

lack of capacity at the local level (Sharma, 2010:138; Moshe, 2007:12). There is need for integrated planning so that the local communities feel that they are part of the planning process.

5.4.12 Top – down approach in disseminating performance management information

The cascading approach is used in disseminating information on performance management. Pa'anga (2005:358) observed that when performance management was introduced, the top – down approach was used and there was limited or no involvement of junior managers and non-management staff. Top – down reform initiatives have been criticized for making assumptions that organisational change is linear and uniform, ignoring the nature or uniqueness of different departments (Ryan et al., 2008: 2). Those at the lower levels of the organisation may not share the same view as management and during implementation when challenges arise; senior management support may not be enough to sustain the momentum of the change (Ryan et al., 2008:3). The other challenge with the top – down approach is that the initiative may not permeate all levels of the organisation to achieve the required results (Ryan et al., 2008: 3; Pa'anga, 2005:358). Some participants revealed that in some local authorities that are in remote areas performance management was non – existent. A participant had this to say:

We once visited a remote local authority and employees were ignorant about performance management. This is an example of the weakness of the cascading approach.

5.4.13 Productivity improvement challenge

Another challenge in local authorities is productivity. The introduction of performance management initiatives seems not to have had the expected impact (Sharma, 2010:138). Employee morale and motivation has generally declined in the public service and local authorities have not been spared in this regard (Botlhale, 2015:13) and this has affected the delivery of service to communities. A survey on customer satisfaction in the public sector that was conducted in 2005 gave a low satisfaction score of 25% and the 2009 survey showed a slight improvement (Botlhale, 2015: 13). Botlhale (2015:14) notes that the problem of poor service delivery is too stubborn to go away and will haunt the public sector for some time. There is need for council administrators to be more accountable, responsible and sensitive to the needs and expectations of the communities (Sharma, 2010:138). Regardless of challenges in productivity, it was only in 2010 that the government of Botswana introduced a monitoring and evaluation framework (Botlhale, 2015:14).

In a study conducted by Mothusi (2008: 115) some officers in local councils indicated that an initiative such as the balanced scorecard was difficult to implement because of the challenges of quantifying their work which is mostly administrative tasks. Examples that were given included quantifying routine tasks of drivers and secretaries. The study also revealed that there was a negative attitude towards the implementation of PMS (Mothusi, 2008:115). The negative attitude was also as a result of shortage of qualified people and funds to embrace PMS in local authorities.

Senior officials who introduce PMS initiatives use language that is not easily understood by the juniors and it becomes difficult for them to follow what is going on during workshops (Mothusi, 2008:115). The jargon associated with PMS might be difficult for some people to follow hence the need to use simple language that will enable everyone to follow. The study also revealed that some officers in local authorities did not fully understand PMS and senior officials had not made some effort to ensure that PMS was thoroughly understood by junior officers (Mothusi, 2008: 118). Some officers view themselves as recipients of a reform that they barely understood. Mahapa et al. (2015:21) say it is difficult for individuals to implement performance management effectively if they hardly understand it. Some participants were of the view that language was a challenge for some employees hence the challenge to complete forms. A participant had this to say:

We have received communication during workshops that forms should be in Setswana and some officials have suggested that forms should be simplified.

Regarding their role in the implementation process, some officers say they were told to attend a PMS workshop where they were taught the vision and mission of the department and the need for them to prepare performance development plans (PDPs) (Mothusi, 2008:118). Some employees felt that PMS was forced down their throats by the performance improvement committee of the ministry and they had to comply with given instruction. The issue of whether they had grasped the concept of PMS was not considered and they were just given deadlines regardless of whether they understood what was going on or not (Mothusi, 2008:128). Other officers revealed that they had never attended PMS workshops and only heard about it through colleagues (Mothusi, 2008:118). PMS did not have an impact on the performance of the officers because they were not sure how it was supposed to impact on their work (Mothusi, 2008:118).

The officers were of the view that PMS was not that important since senior officials had not bothered to train them on the reform (Mothusi, 2008:118). Individuals tend to dislike performance management if there is lack of clarity on how its implementation is going to affect their performance (Mahapa et al., 2015: 21). Effective implementation depends on the capacity of the employees to understand, interpret and make use of the knowledge they get from the performance data (Mahapa et al., 2015: 21). Participants of the study were of the view that a lot had to be done if all employees in local authorities are to fully understand the objectives of performance management. A participant had this to say:

We still have employees in local authorities who have a perception that performance management was introduced to enable managers to settle scores with those they did not like. This is something we have to work on.

In a study by Mothusi (2008:119) senior officials of local authorities perceived themselves as drivers of PMS and in an attempt to implement the reform they had created positions of Junior Departmental Performance Improvement Coordinators (JDPICs) who were to assist the Departmental Performance Improvement Coordinator (DPIC) in the implementation process and also get views from junior officers on the challenges they meet in the implementation process. Some of the views from the junior officers were accepted after consideration by senior officials but others were rejected (Mothusi, 2008:119).

The senior officials believed that PMS had ushered in a culture of planning in local authorities and this assisted subordinates to perform their tasks (Mothusi, 2008:119). They were also of the view that PMS had tried to change the perception among employees that one cannot finish government work because PMS made it possible for them to monitor their performance. However some of the senior officials who are supposed to drive PMS also did not understand it and it becomes difficult for them to lead confidently (Mothusi, 2008:170). Other senior officials are said to be slow in performing their tasks and find it difficult to be in charge of their working environments and this affects effective implementation of PMS (Mothusi, 2008:170).

The study by Mothusi (2008:170) also revealed that the public sector culture of performing tasks slowly is prevalent in local authorities and it makes it difficult to evaluate the positive impact of

PMS. Some employees still perform their daily duties at a slow pace and have not realised the need to increase the pace of performing tasks to meet customer expectations.

The Presidential Commission on Economic Opportunities of 1982 found that public service productivity, efficiency and performance had not improved between 1980 and 1990 (Hope, 1998:125) Challenges of poor performance in the public sector were attributed to poor discipline, low salaries, low employee morale and shortage of qualified staff (Mogalakwe, 2008: 429).

The introduction of performance management in the public sector was an attempt to respond to the concerns of the public (Bashe & Jongman, 2006:23; Nyamunga, 2006:2). The introduction of performance management was aimed at improving performance in different departments as well as identifying performance challenges and addressing those (Laking & Norman, 2006: 11).

Sharma (2010:138) gives the following as challenges in the local government ministry: responsibility is not matched by authority leading to laxity; lack of accountability; lack of sensitivity of the ministry to public demand; failure to address complaints from the public on the effectiveness of land boards; lack of transport for visiting districts to conduct PMS workshops; failure to deliver quality service because of lack of relevant training; shortage of skilled staff resulting in one individual having to carry the load and inadequate funding resulting in failure to meet the standard requirements for project delivery. Such challenges in the local government ministry make it difficult to improve service delivery that would be appreciated by customers.

5.4.14 Reform fatigue

The issue of innovation overload has also been a challenge (Mothusi, 2008:119). Employees feel overwhelmed by the number of reforms within a short period of time. They argue that PMS reforms such as Performance Based Reward System (PBRs), systems thinking and balance scorecard were introduced within a short period of each other making it difficult for them to understand and implement them effectively (Mothusi, 2008:120). PMS facilitators are also said to present many concepts within a short period of time leaving junior officers more confused and not sure on how to effectively implement PMS (Mothusi, 2008: 130). The situation was also made worse by threats that employees were getting from senior officials regarding the reforms (Mothusi, 2008:120). The officials used PMS to threaten juniors that they would lose their jobs if they did not perform and this resulted in a negative attitude towards PMS. Participants of the

study acknowledged reform fatigue among employees and a participant during a focus group discussion had this to say:

I was asked during a workshop how different this reform would be to the many that were confusing employees and were destined to fail.

One other challenge was that subordinates were not given rewards as promised when the PBRS reform was introduced (Mothusi, 2008:120). This discouraged employees because good performance was not rewarded. The other challenge was that the assessment criteria were subjective and demotivating. Senior officials felt that there was need to reward good performers and punish poor performers and that some employees in local authorities deliberately decided not to embrace PMS because of the absence of rewards (Mothusi, 2008:120). Senior officials were also of the view that some employees perceived PMS as endless meetings that take most of the working day and leave the officers with very little time to assist clients (Mothusi, 2008:20). The amount of paper work was also a concern for some employees who felt that they spent too much time completing PMS forms.

The assessment criteria were viewed as subjective by some subordinates in local authorities. Some supervisors awarded high marks to poor performers and the system was perceived as not able to completely eliminate favouritism (Mothusi, 2008:130). It could be misused in the selection of employees to be promoted or sent for further studies (Mothusi, 2008:130).

Fear of the unknown has also negatively affected the implementation of PMS. Some employees are not sure where PMS will take them and like other reforms that have been implemented and failed to yield positive results, they felt it would also go the same way and they should therefore not spend a lot of time and other resources on something that will eventually fail (Mothusi, 2008:130). It has also been difficult for managers to convince subordinates that this time it will be different because of unfulfilled promises of rewards of the PBRS reform.

5.4.15 Lack of appraisal skills

The participants of the study from the local government ministry revealed that one of the challenges of supervisors was lack of appraisal skills. Mpabanga (2016:79) attributes the lack of appraisal skills among supervisors in the local government ministry to lack of training. Ratings of employees who consider themselves to be good performers are sometimes low or average

leading to employees getting demotivated because of the unfairness of the ratings (Mpabanga, 2016:79). While the major problem is lack of training, the other challenge that managers face is that they would not be sure of what to do and they end up allocating most employees average ratings (Mpabanga, 2016:79). In such a situation employees who benefit are poor performers because they get average ratings instead of below average ratings. Participants of the study acknowledged this challenge and a participant had this to say:

Managers have to be trained if this challenge is to be resolved. They should be aware that employees are aware of unfair ratings and this affects the credibility of the whole process.

Supervisors should engage themselves and try to recognise any potential bias they may have before the review process begins (Traub, 2013: 5). Recognising one's biases and how they affect one's decision making should make an individual pause, question and reassess decisions made in pursuance of objectivity (Traub, 2013:6). When making performance management decisions on issues such as giving ratings, providing feedback or conducting a career development session, a supervisor should ask himself/ herself the following questions (Traub, 2013:8):

- Am I aware of my biases and how have they affected my decision making?
- Which part of my agenda is affected by this decision?
- Does my subordinate's situation remind me of another subordinate I have appraised previously? Is the previous situation similar to this one?
- Does my subordinate have a different work style or approach to mine? If so is the subordinate's work style wrong or just different from mine? Can the different work styles have the same result? Can the differences affect my ratings of the subordinate?
- What could be the career development aspirations of this subordinate? Is this just in my mind or it is what the subordinate has told me?
- Which strategies and tactics should I use so that I can be objective in my ratings of the subordinate?

If a supervisor was to respond to these questions honestly one might be able to have some insight into one's biases and how they would affect decisions on the ratings of subordinates. Managers in the local authorities in Botswana have not received adequate training if any in rating employee performance and it becomes a challenge for them to perform tasks where their competencies are

questionable. This results in ratings that are not objective and this could be one of the reasons making employees in local authorities lose faith in the objectivity of performance ratings done by their supervisors. There is need for those in leadership positions to be trained so that they become competent and confident in executing their duties.

Research in the working of the brain shows that repeated performance of an action assists the brain to create a pattern resulting in habituating processes (Traub, 2013:8). When the supervisor considers one's assumptions and biases leading to the creation of a thoughtful process in analysing assumptions about the employee and applies the process when conducting performance reviews, after some time this might become an automatic pattern. By relegating a less biased review to the automatic part of the brain, the supervisor becomes more objective in rating subordinates (Traub, 2013:8). There is therefore a need for supervisors in local authorities in Botswana to undergo some training so that employees view their ratings as fair and accurate. This will make them value the review process because it will be perceived as a process aimed at identifying performance challenges to improve performance.

It is important for managers to identify their biases before conducting a performance review. They should also have an open mind and ensure that performance reviews are given the importance they deserve by being objective. Employees in local authorities in Botswana can develop confidence in the process if they perceive it as aimed at assisting them. Employees might be justified in concluding that the bias of the reviewer is responsible for the outcomes of the evaluation and if the ratings are not fair, it affects the employee's future.

The performance appraisal system is critical to the effectiveness of the performance management system and decision making because it provides information on the performance of employees in an organisation (Pavlov & Bourne, 2011:102). The performance appraisal system is capable of making a major organisational impact on the processes that drive organisational performance (Pavlov & Bourne, 2011:104). The performance appraisal system is considered as a tool that has the capability of effecting change and improvement as well as effective management of performance in an organisation (Kennerley & Neely, 2002:1222; Franco – Santos & Bourne, 2005: 114). Poor supervisory skills would affect the effective management of performance in an organisation leading to poor performance and lack of trust in the ability of the supervisor to implement performance management effectively.

There have been cases where high ratings for individual employees do not correspond with departmental / ministerial ratings which would be lower than the ratings of individuals (Mpabanga, 2016: 79). Situations like this could be a result of subjectivity where friends are awarded high scores and yet they are poor performers at the expense of high performers who are awarded low scores (Mpabanga, 2016:79; Kealisitse et al., 2013:49). High performers would be demotivated by such actions of supervisors leading to negative attitudes towards work. If performance is rewarded, the implication is that poor or average performers would be rewarded at the expense of those who deserve to be rewarded (Kealisitse et al. 2013:49). Situations where poor performers are awarded high scores make employees lose faith in the performance appraisals because they are aware that even if they perform they will still get low scores. During focus group discussions a participant had this to say:

Actions of managers and supervisors defeat the purpose of performance management. When subordinates lose trust in a system such as performance appraisals, restoration of trust can be a challenge.

Some of the challenges that are associated with performance appraisals are included in the following table.

Table 5.3: Performance appraisal errors

Type of challenge	Attribute	Improvement suggestions
Recency effect	Recent event allocated more weight	Increase frequency of appraisals and feedback
Central tendency	Rating performance as average because of lack of appraisal skills	Training managers in appraisal skills
Halo effect	Effect of the rating of a character on rating of other characters	Supervisor made aware of the challenge through counselling
Leniency/ strictness	Being over generous/ strict perceived as unfair	Creating awareness of the challenge among supervisors through counselling
Biasness of the supervisor	Perceptions of the supervisor affecting ratings leading to unfairness	Counselling
Lack of clarity of performance standards	Subjective ratings that demotivate employees	Clear standards and specific criteria for evaluation to be developed
Ratings lacking consistency	Certain supervisors exercising leniency while others are strict	Training in conducting appraisals, coaching, counselling and mentoring supervisors
Biases related to age, gender, race, ethnicity	Not easily detected because they are hidden	Awareness of these challenges through counselling

Source: Mathis & Jackson, 2000:402; Armstrong, 2006:632; Prowse & Prowse, 2009:71; Nel et al., 2011:418.

The participants of the study revealed that managers in the departments of the local government ministry preferred rating most employees as average performers to avoid coaching sessions and giving effective feedback to employees. Average ratings did not raise eyebrows and managers felt safe if they rated employees as average performers. However this was not fair to good performers who would be rated as average performers. One participant had this to say:

Appraising performance is a challenge in the ministry because it is subjective. In our situation it is worse because most managers do not implement it because they are not sure if they have the skills to do so. In the end they just rate an employee depending on what they think about the employee. They have actually told us that this is what they do.

Ahmed et al., (2013:721) suggest that complexity and subjectivity in the appraisal process can be reduced through the use of fussy evaluation approach. The fussy model of employee appraisal includes the following elements (Ahmed et al., 2013:727):

- The employee's knowledge of the job
- The quantity and quality of the work
- Employee's problem solving and decision making skills
- Leadership qualities of the employee
- Ability to cooperate and work in a team
- Employee's time management and communication skills
- Absenteeism and late attendance rate
- Employee's appearance and grooming
- Willingness to be flexible and adapt
- Employee's creativity and innovativeness
- Employee's reliability and dependability
- Employee's confidence
- Ability to work under pressure
- Ethics and integrity
- Ability to plan and
- Versatility

Fryer, Antony and Ogden (2009: 481) identified the following aspects as critical in performance appraisals, namely deciding on what to measure; how it should be measured; interpreting collected data and communicating the results. Deciding what to measure encompasses the creation of performance indicators. These are divided into four categories which are the output, welfare, performance and composite indicators integrating the other three (Fryer et al., 2009:481).

Organisations generally face challenges in making the choice of measures because of lack of appropriate skills (Kennerley & Neely, 2002:2038). Gathering performance data is also a challenge for many organisations as a result of lack of skills (Berman, 2002:350). Determining an effective indicator may be influenced by the assumption on an indicator and the reasons for measuring it; the accuracy of the measurements; the ability of the indicator to change as the behaviour changes; whether a static measure or vector would be appropriate; use of soft or hard measure; whether indicator will measure behaviour or results and possible intended and unintended consequences of the measurement system (Fryer et al., 2009: 483). A close look at the skills that an organisation should have reveals that this might not be easy if supervisors lack skills to develop an effective performance indicator. This could be one of the challenges that the local government ministry faces and could be one of the challenges that supervisors are struggling to make performance management effective for the ministry.

When deciding on the frequency, it is recommended that an organisation should use leading indicators rather than lagging indicators to enable the organisation to communicate the direction of future performance. Employee satisfaction may for example be used to predict customer satisfaction (Fryer et al., 2009: 483; Pavlov & Bourne, 2011: 107). Decisions concerning such frequency should be carefully made if the organisation does not want to provide information about past performance. Skills in decision making of this nature will depend on whether supervisors are aware of the consequences of lagging and leading indicators. These are some of the issues that may be challenging the effective implementation of performance management in the local government ministry in Botswana.

Rowland and Hall (2013: 201) found that performance appraisals and performance related pay were perceived as unfair and there was inequity of treatment between good and low performers. Rowland and Hall (2013:201) further found out that performance appraisals were a necessary evil as long as there was fairness in how they were conducted. The study by Rowland and Hall (2013:201) revealed that supervisors perceived performance appraisals as an administrative burden while subordinates viewed it as exercise that was subjective, composed of flawed procedures and imposed by management. In view of such perceptions, there is need for supervisors in the local government ministry in Botswana to be objective when appraising employees to make the process credible. If employees perceive the process as fair and are aware

of its objectives, they would appreciate it. Supervisors should not perceive the appraisal process as a burden but view it as a process that assists them to improve the performance of subordinates. According to the participants of the study, there was dissatisfaction on how the 2017 recipients of annual rewards were selected because employees were of the opinion that some beneficiaries of rewards were not high performers. It is possible that they may have been recommended for rewards because supervisors lacked appraisal skills and just picked certain employees as beneficiaries.

Literature on performance management states that it is not simple to develop performance appraisal systems that are effective and it is not easy to transfer them from one organisation to another (Halachmi, 2005:505; Bento & White, 2006:52). The local government ministry in Botswana uses an appraisal system that was developed in another country and situations between the two public sectors may be different leading to the appraisal system not being relevant to the local situation. This results in challenges when conducting appraisals. There is need to revise the evaluation instrument and make it relevant to the Botswana situation.

Managers should be aware of ratter, structural and calibration bias when evaluating employees so that employees perceive appraisals as a fair and just process and they will respect the outcome even if it is not in their favour. In Botswana where funds have not been put aside for performance management, calibration bias may affect the ratings of employees so that only a few individuals are rewarded for their performance (Traub, 2013: 14). Gender bias may also affect employee ratings and managers should reflect on whether their decisions may be influenced by such bias. Despite the fact that performance management is time consuming and is complex, it is the responsibility of managers to level the playing field and make sure that there is objectivity in the process.

5.4.16 Poor supervisory skills

One of the main roles of supervisors is to make sure that subordinates perform their tasks according to their job descriptions. The supervisor is expected to guide subordinates to achieve individual objectives leading to the organisation achieving its goals. Supervisors are expected to monitor the performance of their subordinates, coach them where they have challenges and review their performance from time to time to ensure that performance challenges are identified

and addressed (Nel et al., 2011: 420). For the supervisor to be able to perform these duties effectively there is a need to have good supervisory skills.

The challenge that the local government ministry in Botswana has is that supervisors lack skills for effective supervision (Sharma, 2010:138). One of the challenges could be that when the public sector in Botswana promotes employees to positions of supervision, they usually do not train them in supervision skills. The assumption is that they will be able to learn but it is not easy because with performance management the individual needs to be aware of how supervision should be done and the process has to be understood and followed for implementation of performance management to be effective.

Performance management models have different ways of assessing employees and managers have to be trained by those who understand the system. The cascading model used in the local government ministry does not adequately prepare managers for the supervisory role hence the challenges they face. The ministry should find a way of training managers in supervisory skills so that implementation can succeed.

Supervisors could also be inducted when they are promoted so that they become aware of their new role and how they are expected to perform tasks. Effective induction should include the following considerations: the employee gets to understand specific skills, roles and responsibilities of the job; the employee becomes aware of the characteristics of the job that one is getting into; one gets to understand the wider context of the new role and the monitoring and coaching needed for the position (Armstrong, 2006:45). Induction enables the employee to understand how the position fits into the mission and strategy of the organisation and having access to information that the individual needs to perform effectively especially at a managerial level (Armstrong, 2006:45). Participants revealed that induction was done when individuals were promoted. A participant had this to say:

Maybe there is need to make a follow – up and find out if the individual still has challenges after the induction.

5.4.17 Lack of monitoring and evaluation skills

Monitoring and evaluation of government projects and employee performance are essential if the implementation of performance management is to be effective. Performance management involves monitoring and providing performance feedback so that employees can address performance challenges (Armstrong, 2006:19). Performance monitoring is critical for successful implementation of performance management. Performance monitoring and evaluation assists supervisors to identify areas that need attention so that organisational objectives are achieved. Performance monitoring ensures that there is constant assessment of inputs, outputs as well as outcomes (Hildbrand & McDavid, 2011: 46). It is also used to assess the performance of employees, organisational performance; reporting of achievements and ensuring that there is improvement in performance (Hildbrand & McDavid, 2011:58; Glendinning, 2002:165). Performance monitoring in the public sector in Africa and Botswana in particular has not been effective and is in its infancy stage (Mothusi, 2008: 8).

Monitoring and evaluation of performance is ineffective in Africa because performance management is still new in many African countries including Botswana (Dassah & Uken, 2006: 711). There is also a lack of monitoring and evaluation skills and supervisors in many African countries have no expertise in the areas (Schacter, 2000:5). Opportunities for training in monitoring and evaluation are scarce in African countries and this negatively affects the successful implementation of performance management (Dassah & Uken, 2006:715). African countries also lack an entrenched monitoring and evaluation culture in the public service because of a lack of orientation towards performance monitoring and evaluation (Schacter, 2000:5; Dassah & Uken, 2006: 706). Many African countries perceive performance monitoring and evaluation as a fault finding activity aimed at exposing weaknesses and failures of programmes implemented by governments (Dassah & Uken, 2006: 708).

Supervisors in the local government ministry in Botswana lack monitoring and evaluation skills and this negatively affects the effectiveness of the implementation of performance management. Sharma (2010: 137) argues that one of the challenges facing local government in Botswana is the inability to perform expected roles and discharge functions because of lack of monitoring and evaluation skills among supervisors. Performance management requires leaders who are able to monitor the performance of employees and assist them in areas where they have challenges so

that performance can improve. Sharma (2010:137), Mpabanga (2016:57) and Botlhale (2015: 10) state that local authorities in Botswana have a big challenge in human resources development because of shortage of resources leading to challenges of attracting qualified employees. Production and service delivery pose crucial challenges with regard to access, quality performance measurement, monitoring as well as evaluation (Sharma, 2010:137; Mpabanga, 2016:57). This has resulted in performance improvement challenges where performance within the ministry has failed to be as high as it should have been. Participants of the study noted that skills were lacking in this area and a participant had this to say:

Local authorities face challenges in this area and the ministry is working on a programme of training managers to have skills in evaluation and monitoring.

Effective monitoring and evaluation can also be determined by selecting good performance indicators. Guidelines for effective performance indicators include the following (Mosha, 2004:5):

- the acceptance and meaningfulness of the indicator to the customer
- the ability of the indicator to show if goals are being met
- the degree to which the indicator is simple, logical and understandable
- the clarity of the definition of the indicator
- the indicator allows economic collection of data
- the indicator is timely and
- it is sensitive

Mpabanga (2016:82) argues that most employees who are responsible for monitoring and evaluation in Botswana's public sector complain of lack of skills and training leading to projects not completed on time. At the employee level, there is also a challenge in that supervisors lack appraisal skills (Mpabanga, 2016:82; Botlhale, 2015:10). The other challenge that supervisors have is conducting appraisal interviews (Mpabanga, 2016:82). Supervisors lack skills in giving constructive feedback as well as monitoring the performance of employees for a specified period (Mpabanga, 82). This has led to reports on the performance of employees not submitted on time to headquarters.

The challenge for local authorities could emanate from the inability to train their employees independently because of lack of funds. Local authorities have to depend on central government for funding and even if they were to realise the need for supervisors to be trained in monitoring and evaluation of employee performance, it is central government that has the final decision since it is the source of funds. Councils in Botswana do not have independent sources of revenue and have to rely on central government for funding (Sharma, 2010:138). The provision of funds from central government strengthens its control on local authorities and weakens the autonomy of central authorities (Sharma, 2010:138).

5.4.18 Structures and Organisation

Studies conducted by BIDPA (2004: 3) reveal that implementation of Rural Development Policy and of the Remote Area Development Programme had structural and organisational problems that negatively constrain the effectiveness and efficiency of officers to provide quality service in the provision of rural development. Challenges include lack of clarity on the roles and functions of local authorities and central government, ignorance of policy objectives and outcomes resulting in officers of local authorities not sure of their roles and responsibilities (BIDPA, 2004:3).

The report on the second Presidential Commission on Local Government in Botswana (2003) confirms the challenge on the structures and makes a number of recommendations including capacity building and the strengthening of local government structures (BIDPA, 2004:3). It becomes a challenge for supervisors to appraise employees where roles are not clear.

5.4.19 Poor customer service delivery

A study in 2003 revealed a low perception of customer service delivery in local government by service recipients (BIDPA, 2004:4). Customer service was said to be poor in terms of effectiveness, efficiency and responsiveness to the demands of customers (BIDPA, 2004:4). There is need for employees at all levels to be trained in the implementation of reforms and the training could include capacity building, work improvement and performance management systems (BIDPA, 2004:4). Change is usually slow in government departments including local authorities and it will take some time before performance management can have a positive impact in local authorities hence the need for capacity building and this can be done by taking stock of the strategic skills, competencies and capabilities that are essential for public sector

employees and then tailor training programmes to cover the capacity gaps (BIDPA, 2004:4). The ineffectiveness and inefficiency in the provision of service to the public in the Botswana public sector requires improvement in institutional governance. Public service employees should be made aware that failure to deliver effective and efficient service denies the public full enjoyment of the services that they have a right to (BIDPA, 2004:4).

The participants of the study were of the view that resources were limited but top – officials in the ministry were aware of the challenge. In meetings the issue was always discussed and ways of improving service delivery suggested. One participant had this to say:

Decentralisation in the ministry is an effort to try and improve service delivery especially with regard to decision making. Previously most decisions were made at headquarters and this affected service delivery.

5.4.20 Poor working conditions and poor work ethic

Generally the public sector in Botswana has low salaries or working conditions that are not as attractive as the private sector (Mpabanga, 2016: 81). As a result of low salaries especially at junior level, many employees do not put effort into their work on the assumption that they equate effort with the salary or wage they get from the employer (Mpabanga, 2016:81; Lesemela, 2014:7). Poor working conditions also lead to a negative perception of work and a poor work ethic where employees feel that their effort should be commensurate with the salary they get (Lesemela, 2014:7). This affects service delivery because employees would not be prepared to go an extra mile to provide quality service to customers.

The challenge that local authorities in Botswana have is that they have limited sources of revenue and it becomes difficult to motivate employees by paying them high salaries so that they can deliver quality service to customers. Salaries of local authority employees are provided by central government and it becomes a challenge for local authorities to attract and retain qualified staff (Sharma, 2010: 138; Mpabanga, 2016:81). This arrangement also results in employees of local authorities being more loyal to the Local Government Service Management (LCSM) which is the central administration body through which central government recruits local government employees (Sharma, 2010:138).

The public continues to complain about poor service at local authorities and one of the reasons why employees provide poor service could be the poor working conditions that make employees not perform effectively. Mpabanga (2016:81) argues that there is a tendency among employees to avoid criticism during appraisals for not achieving set targets by setting targets that are easy to achieve so that one can stand a chance of getting a performance reward to improve one's livelihood rather than set challenging targets that are difficult to achieve and may result in a performance development process after failing to achieve targets.

5.4.21 Mismanagement

Performance management was introduced in the public sector in Botswana to improve public accountability and management because of the concern on corruption and mismanagement (Ayeni, 2001:12). A number of corrupt activities involving illegal land allocation in villages near Gaborone, the capital of Botswana had been uncovered by a commission of enquiry set up by the then president and there was concern that civil servants had become corrupt (Somolekae, 1998:28; Magang, 2008:464; Mothusi, 2008: 33; Hope 1995: 44). These corrupt activities led to the establishment of the Directorate on Corruption and Economic Crime in 1994 (Somolekae, 1998:28; Sharma, 1998:114; Hope, 1997: 144; Mothusi, 2008: 34).

5.4.22 Weak implementation capacity

Concern started mounting from the 1980s into the 1990s that the public service had weak implementation capacity because of non – completion of government projects. Incomplete projects would be carried from one national development plan to the next one. For example, of the 188 projects that were in the eighth national development plan between 1997/98 and 2002/03, 23 were new projects and 156 were carried over from the seventh national development plan with an additional nine introduced during the course of the plan (Republic of Botswana, National Development Plan 9, 2003: 75). During a focus group discussion some participants gave examples of situations where projects were abandoned after having been paid for in full. A participant had this to say:

Government lost millions of pula through incomplete projects as a result of weak implementation capacity.

The carrying over of incomplete projects stretched the implementation capacity of the public service and negatively affected its ability to deliver service. Incomplete projects that were carried over to the next national development plan led to increases in costs. As a result of this the public was concerned of the ineffectiveness and inefficiency of the public service as it was perceived as wasteful and insensitive to the needs of the public (Skeleman, 2007:7; Chirairo, 2008:1; Bashe & Jongman, 2006:23; Nyamunga, 2006: 2).

The other concern was that the public service had limited management capacity for monitoring the effective implementation of government projects. The public was also concerned that the national development plans were drawn – up by foreign consultants (Magang, 2008:400). The implementation of performance management was meant to address these challenges but the implementation of performance management seems to have failed to address these challenges because there is no effective implementation. The process of implementation should be followed if expected results are to be achieved. A participant had this to say:

Certain stages in the implementation of performance management have largely been ignored by managers. They include monitoring of performance, appraisals, performance reviews and coaching. This has negatively affected implementation.

If important stages that are influential in improving employee performance are ignored by managers it becomes difficult for implementation to be successful. Stages such as reviews influence coaching to enable performance to improve and if there are no reviews performance improvement can be a challenge. Performance management is a process and if some of the stages are omitted, successful implementation cannot be guaranteed.

5.4.23 Bureaucratic dominance

There was concern among the public that government policies and programmes were more inclined to the interests of bureaucrats rather than the general public (Somolekae, 1998: 26). There was also a concern that services in the public sector had become quantitative rather than qualitative and citizens had very little input because of the top – down approach that was used (Jefferis, 1998: 48). A participant had this to say:

There is more interference from politicians on the activities of the ministry than other ministries and employees have voiced their displeasure on this issue and they perceive it as affecting their motivation.

There was also concern that the public was not getting adequate value for the resources that the country was investing in developmental projects (Sharma, 1998:114; Mothusi, 2008: 34). Another concern was that employees in the public service did not respect the principles of the Botswana Public Service Charter which include the regard for public interest; accountability; continuity; political neutrality; transparency; freedom from corruption; diligence and the duty to be informed (Hope, 1995:42; Chirairo, 2008:1). The participants of the study were of the view that employee morale was low in the ministry and this had affected the performance of the employees hence the failure of performance management. For implementation of performance management to be effective there was need for the local government ministry to address some of these issues so that objectives of the ministry may be achieved.

5.5 CHAPTER SUMMARY

This chapter discussed some of the challenges confronting the local government ministry in implementing performance management. Firstly the chapter highlighted the local government system in Botswana and its relationship with central government and then identified the responsibilities of local authorities. They include the provision of primary health, primary education, tertiary roads, and provision of water, development of remote areas as well as governance and community services.

The chapter went on to focus on the structure of local government in Botswana which includes city or town councils; district councils; district administration and land boards. Presently there are ten rural and six urban districts as well as 16 sub – districts.

Challenges of implementing performance management in the public sector were then discussed and they included the association of performance management with the private sector; lack of support from top management; lack of training on performance management; resistance because of cultural change; challenges associated with performance agreements; lack of quality service delivery; negative perceptions of performance management by supervisors and lack of constructive feedback from management.

The chapter then focused on performance management in local authorities from a global perspective identifying some of the challenges such as budget constraints; cost reduction strategies; preparation of annual management plans; customer perceptions and provision of quality customer service. A comparison of the traditional approach to the performance oriented approach for local authorities was also done.

Challenges confronting local authorities in implementing performance management were then presented and discussed. They include the size of local authorities and management challenges associated with the expansion of the public sector; limited capacity and the semi – autonomous state local authorities find themselves in; lack of revenue base and dependence on central government; lack of qualified personnel resulting in local authorities depending on central government and the unclear policy on decentralisation.

The chapter also focused on the challenges of using the top –down approach in disseminating performance management information. As a result of the top – down approach some departments in the ministry had challenges in receiving information regarding performance management timely.

The chapter highlights productivity challenges in the ministry despite the implementation of performance management. The use of the balanced scorecard to quantify performance has been a challenge in the ministry because of the difficulty of quantifying certain tasks in the ministry.

The chapter also focused on the fatigue challenge of reforms. Employees in local authorities had grown tired of too many reforms that did not seem to work and performance management was perceived as one of those reforms that would fail just like the others. The absence of rewards in the implementation of performance management also demotivated employees.

Management issues such as lack of appraisal skills, poor supervisory skills and lack of monitoring and evaluation skills were addressed in the chapter. These negatively affected the implementation of performance management because managers found it challenging to perform their tasks that would lead to improvement in employee performance.

The chapter also highlighted the lack of clarity on the roles and functions of local authorities and central government. This caused confusion because local authorities would not be clear of what

their responsibilities were and those that they should leave to central government. This would lead to poor service delivery as a result of confusion.

The issues of poor working conditions and poor work ethic were also discussed. Their effect on the implementation of performance management was highlighted and this results in low productivity. Development projects were affected were by low productivity. Public perception was that development projects served the interests of the elite instead of the general public.

CHAPTER SIX

A NEW PERFORMANCE MANAGEMENT MODEL FOR THE PUBLIC SECTOR IN BOTSWANA

6.1 INTRODUCTION

When the public service in Botswana introduced performance management the aim was to improve employee performance which would result in quality service to the customers. When performance management has been introduced in an organisation, employee performance would be expected to improve. However this has not happened in the public sector in Botswana and customer service has continued to be a concern for top government officials. In the ministry of education examination results for learners in public schools have continued to decline over the years despite the implementation of performance management. This implies that the model that has been implemented has not worked to improve service delivery to the public.

Various challenges affecting performance improvement have been identified in this study. The challenges confronting ministries in implementing performance management have not been addressed hence the current state of affairs in the public sector where employees have a negative perception toward performance management and yet initially performance management was expected to assist employees to improve performance and restore confidence to the public on the ability of the public sector to provide quality service (Sharma, 2010: 136). The introduction of performance management should not be blamed for the current state of poor service delivery but the public sector should draw lessons on what went wrong and how that can be corrected to ensure that performance management yields the expected results. This chapter fills that gap.

The main purpose of the chapter is to:

- summarise challenges confronting Botswana's public sector in implementing performance management
- propose an innovative performance management model for the public sector in Botswana

6.2 OVERVIEW OF CHALLENGES OF PERFORMANCE MANAGEMENT IMPLEMENTATION IN THE PUBLIC SECTOR IN BOTSWANA

The public sector in Botswana has had productivity challenges before and after the implementation of performance management. The introduction of performance management in the public sector was aimed at addressing productivity challenges but performance has not improved. Although the country has done well in economic growth, public sector productivity has remained a challenge and questions have been asked on what could be done to improve productivity. Productivity in the public sector in Botswana has negatively affected the country's ability to be competitive and government leaders have voiced their concern on the lack of a performance culture in the public sector.

The challenges of low productivity in the public sector were diagnosed in the 1980s when the sector became characterised by poor service delivery (Hacker & Washington, 2009:45). Senior public officials continued to voice their concern on the inability of the public service to satisfy customer needs and in 1993 efforts were made to introduce measures that would improve public sector performance (Marobela, 2011:12). The government introduced several measures to improve public sector performance including the establishment of work improvement teams; salary reviews; the Botswana National Productivity Centre; performance related pay and performance management systems (Marobela, 2011:12).

Dzimhiri (2008:48) states that in order to improve service delivery and customer satisfaction in the public sector in Botswana, the government mandated DPSM to develop initiatives that would lead to improved service delivery. DPSM started investigations on what could be done and several initiatives were introduced between 1995 and 1997 including a performance based reward system, business process reengineering and decentralisation (Dzimhiri, 2008:48). The introduction of these initiatives failed to improve performance and efficiency in the public sector.

The Botswana National Productivity Centre was then given the responsibility to introduce performance management in the public sector and they were to be assisted by an American consultancy group known as Performance Centre Ministries (Dzimhiri, 2008:48). Each ministry had a performance improvement coordinator. BNPC was supposed to assist ministries in the implementation for a year and then leave the ministries to implement performance management on their own (Dzimhiri, 2008:48). Workshops with top officials were held in each ministry on

the development of strategic plans, annual performance plans as well as measurement systems. A pilot study was conducted to find out if the project could be implemented successfully. At the end of the pilot study, the general belief in the different ministries was that performance management was the right tool for performance improvement (Dzimhiri, 49). In 1999 the roll – out for the implementation of performance management in different ministries was started.

The ministries were provided with a document known as PMS Philosophy by DPSM which was to guide them on the implementation of performance management (Marobela, 2011:13). The top – down approach was used and major decisions about implementation were the responsibility of top management in the ministries. Implementation had four phases mainly customisation of performance management in the different ministries, formulation of annual performance plans for departments, performance measurement process and the creation of an evaluation and review structure (Dzimhiri, 2008:49).

DPSM managed the project while BNPC was in charge of training. Permanent secretaries in each ministry were regarded as the sponsors of the programme and one of their responsibilities was to create an enabling environment for successful implementation (Mothusi, 2008: 32).

In 2004 the government hired Ernest & Young Consultants to evaluate the implementation of PMS in the public sector in Botswana and over 1400 public service employees were interviewed (Dzimhiri, 2008:51). The findings revealed that ministries were able to prepare strategic plans; workshops on performance management were held in various parts of the country; there had been a noticeable improvement of service delivery; ministries were more focused on priorities; junior employees had little or no knowledge about PMS especially those outside headquarters; BNPC consultants seemed to have little knowledge of PMS; there was lack of commitment at both management and lower levels in ministries; there was lack of individual goal setting and appraisals; officers found it difficult to change from their old ways of doing things and performance improvement coordinators were not given the support they needed for successful implementation; lack of funding; DPSM's lack of authority over ministries and reform fatigue (Dzimhiri, 2008:54; Mothusi, 2008: 110; 54; Marobela, 2011:14; Mpabanga, 2016:79).

The participants of the study from the education and local government ministries indicated that the implementation of performance management had several challenges which affected effective

implementation including negative perceptions about PMS; lack of training; perceiving PMS as irrelevant to the improvement of performance in the public sector; lack of performance related pay; lack of management support of PMS; lack of commitment from headquarters; ineffectiveness of the cascading approach and the perception that PMS had too much paperwork.

Successful implementation of performance management can be affected by several factors such as personal factors which include an individual's skills, motivation, confidence and commitment; leadership factors which include the quality of encouragement and guidance employees get from their managers and the support from both managers and colleagues; system factors such as facilities and system of work in the organisation and contextual factors such as the internal and external environment (Mwita, 2001:21).

Some of these factors have affected the implementation of performance management negatively in the public sector in Botswana and there might be a need to come up with a new model of performance management that will result in improved performance, leading to customer satisfaction and the achievement of organisational goals. DPSM has alluded to the fact that there is a need to think of new ways of performing government work because of the need to "leap frog" and performance management was perceived as a solution to performance improvement in the public service in Botswana (Republic of Botswana, 2002:2). However, since its introduction into the public sector performance management has not yielded the expected results and employee performance has not improved.

If one model of performance management has failed to work, there may be a need to be innovative and develop an alternative model. Public sector organisations globally have been rethinking on new ways of operations and management approaches. Public sector organisations are faced with challenges such as reduced funding, increasing costs, demand for quality service and the pressure to operate more effectively hence the need to be innovative and use strategies that will produce the required outcomes (Potocki & Brocato, 1995:402). Improvement approaches that seem to be working for organisations include measurements; employee involvement; customer focus; leadership and process improvement (Potocki & Brocato, 1995:402). An alternative performance management model for the public sector in Botswana should take these principles into consideration.

The adoption of an innovation generally includes the phases of initiation, adoption decision and implementation (Walker et al., 2010: 369). Basically the implementation of an innovation assumes that the employees, users or customers have accepted it (Walker et al., 2010: 369). In the public sector it is possible to adopt an innovation to seek legitimacy before fully implementing it (Walker et al., 2010: 369). Studies have shown that adoption of innovations have tended to improve performance and this confirms the views of contingency theories that organisations are adaptive systems and the introduction of changes makes them function effectively (Walker et al., 2010: 369; Pfeffer & Salancik, 2003: 42). This assumes that the introduction of a new performance management model in the public sector in Botswana may result in increased employee performance leading to increased customer satisfaction.

Performance management has been at the centre of reforms and it has also been referred to as the managing for results (Moynihan, 2006:82) or managing for outcomes (Heinrich, 2002: 712). Organisational innovation and performance management are aimed at achieving organisational effectiveness (Walker et al., 2010: 371). Innovations whose purpose is to assist the organisation to achieve its objectives are likely to succeed if there is a link between goals, strategy and indicators as well as the practices to be implemented (Teall, 1992:32). This is what the proposed model for the public sector in Botswana will be focused on. The model will be closely tied to the mission and strategies of the public sector in Botswana to enhance improvement of service provision. The proposed model should be perceived as an attempt to ensure that the primary purpose of performance management is to improve public management for improved programme outcomes (Heinrich, 2002: 712). If the current performance management model has failed to work, then there is a need to develop an alternative model that may result in the improvement of employee performance in the public sector in Botswana.

6.3 DIFFERENCES BETWEEN THE PRESENT MODEL AND THE PROPOSED ONE FOR THE PUBLIC SECTOR IN BOTSWANA

The public sector in Botswana uses traditional performance management and the proposed model is innovative performance management. The focus on traditional performance management is on evaluation and weaknesses of the employee (Lin & Lee, 2011:82; West & Blackman, 2015:75). The proposed innovative performance management focuses on the strengths of the employee, growth as well as employee development (West & Blackman, 2015:74). The proposed model

focuses on the potential and growth of the employee rather than the limitations (which is the focus of traditional models) of the employee and that is the current practice in innovative performance management (Mackie, 2008:10; Lin & Lee, 2011:87; West & Blackman, 2015:75). Research has demonstrated the need for strengths – based development of employees because of the realisation through research that employees who get rewarded through traditional models of performance management may not necessarily be the best performers (Mackie, 2008:15; West & Blackmore, 2015:75). With innovative performance management every employee has the potential to be a high performer because the focus is on encouraging a culture of coaching which improves performance. Eventually the performance of every employee improves because of coaching. The traditional model implemented by the public sector in Botswana focuses on training or learning. The innovative performance management focuses on a coaching culture and managers have a responsibility for the growth and development of employees through coaching (West & Blackman, 2015:75). Managers do not have to spend time dwelling on what they think about the employee but what they can do to assist the employee to improve performance (West & Blackman, 2015:75). Innovative performance management can be said to be objective because the focus is on employee development whereas traditional performance management can be said to be subjective because the manager has to make a judgement on the performance of the employee. With innovative performance management the focus is on encouraging the employee to be a high performer through coaching.

The working environment in organisations has become dynamic making it ineffective to review employee performance months after the task was done and the employee has forgotten about what went on during the performance of the task (West & Blackman, 2015:75). This is the practice in the public sector in Botswana. There are three review periods in a year implying that the employee and manager meet three times in a year to review performance. The challenge would be whether the employee would still remember what happened some months back when a certain task was performed. With innovative performance management the focus shifts to continuous feedback and development (West & Blackman, 2015:76). The manager and employee have continuous dialogue to improve performance through innovative performance management. Traditional performance management as implemented in Botswana fails to provide real –time feedback to employees hence the challenges that the public sector is facing in improving employee performance.

Innovative performance management considers goals that set expectations aligned with goals of the employee and the strategy of the organisation (West & Blackman, 2015:76). Innovative performance management creates an understanding between traditional SMART goals and the more dynamic model of objectives and key results (OKRs) which focus on giving employees stretching goals and assisting them to establish regular achievable results that motivate them (West & Blackman, 2015:76).

The public service in Botswana has annual awards for the highest performance and these are not sufficient to inspire employee commitment and dedication in today's organisations. In innovative performance management rewards are more fluent and are more related to real – time results and goals of the organisation (Lin & Lee, 2011:85; West & Blackman, 2015:76). The culture of innovative performance management encourages managers to offer rewards more frequently and the rewards should be timely and meaningful to individual employees (West & Blackman, 2015:76; Anderson & Potocnik & Zhou, 2014:1299).

The current model in Botswana uses the top down – approach where managers attend workshops to be given information on performance management. Managers are then supposed to disseminate the information to employees and this approach seems to have failed to have an impact. Traditional methods face challenges in today's organisations because in most cases they lack effectiveness. The proposed innovative performance management model would use the integrated approach where every employee in the public sector has to attend workshops to get first - hand information. The whole processes would depend on the agreement between the manager and the employee. Communication plays a vital role at all stages of the process because there has to be an agreement among all stakeholders.

The present model in the public sector in Botswana is not linked to rewards. Participants revealed that some employees did not see the purpose of completing PDPs if high performance was not rewarded. This could be one of the reasons that have made the introduction of performance management in the public sector fail to improve performance. Employees may be lacking motivation to perform and yet motivation is crucial in motivating employees (expectancy theory) to perform. The proposed model would be linked to pay and employee coaching is likely to result in high performance by all employees.

The present traditional performance management system of ranking employees in the public sector in Botswana uses a five point rating scale. The scale is used to assess performance around a central point and this point is usually referred to as the acceptable performance (Bussin, 2013:98). One of the challenges with the five point rating scale is that it has the average performance where some objectives may not have been met (Bussin, 2013:98). During the review meeting employees may argue that their performance was not average and may request for a higher rating (Bussin, 2013:89). For example the ratings may be as follows: outstanding; excellent; fully effective; needs improvement; unacceptable and the challenge that managers may have is being uncertain whether to give an outstanding or excellent performance rate (Bussin, 2013:98).

The proposed model will have a three point rating scale. The three point rating scale is considered to be a simple approach (Bussin, 2013:96). According to the participants managers in the public sector in Botswana were not comfortable with the present model and it is perceived as complicated and introducing a three point rating scale would reduce the complexity of performance rating. For example the model may use the following ratings: exceptional; effective; improvement required (Bussin, 2013; 89). This is much simpler and innovative performance management aims at making the process much simpler so that performance management is positively perceived. The development of the model should change the negative perceptions about performance management.

6.4 THE DEVELOPMENT OF A PERFORMANCE MANAGEMENT SYSTEM

Bulawa (2013:2) states that the development of a performance management system is not easy. The development of a performance management can be guided by the following suggestions (Dobson, 2001: 2):

- A clear organisational strategy with well-designed objectives and performance measures that can be used for the formulation of employee performance expectations and performance evaluation.
- An effective management team at the top of an organisation with a clear vision and a strong will to guide the organisation through the change process and create an enabling environment for improved employee performance.

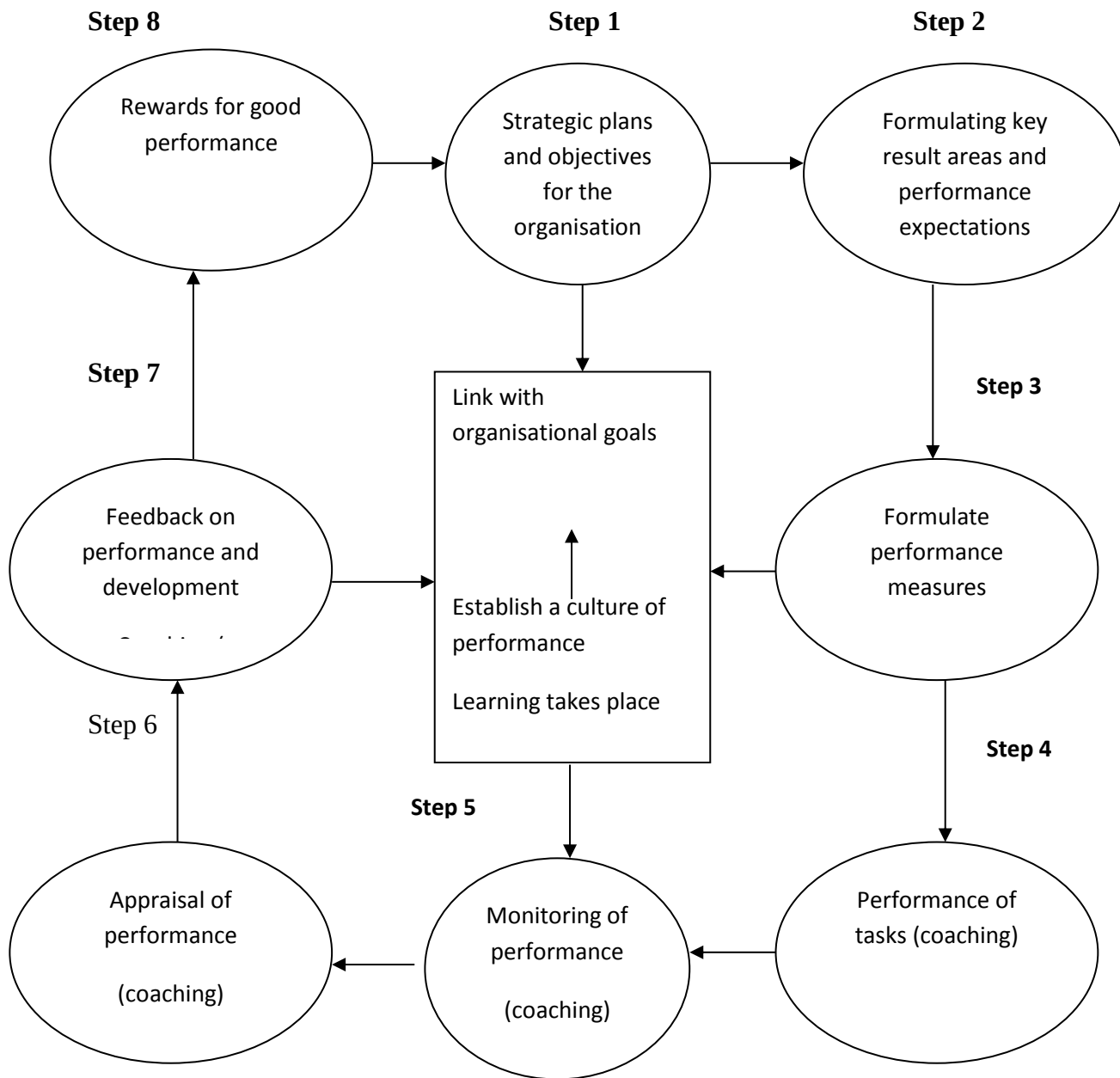
- The reasons for introducing performance management should be understood by both management and subordinates with both parties willing to play their part and take the responsibility of ensuring implementation success.
- The realisation that effective communication between managers and subordinates will result in employee motivation leading to improved performance and achievement of organisational goals.
- Linking performance to rewards as a way of motivating employees to improve performance and send a message to employees that improved performance that leads to the achievement of goals is the ultimate goal of the organisation hence the rewards.

6.5 PROPOSED INNOVATIVE PERFORMANCE MANAGEMENT MODEL FOR THE PUBLIC SECTOR IN BOTSWANA

A performance management model can be viewed as a way in which an organisation integrates its performance with the strategies and objectives of the organisation (Mwita, 2000:28). In local government a model should be able to address strategic linkages with the performance of the organisation (Mwita, 2000:28). Research shows that organisations generally concentrate on measuring what can be measured easily and if this is done in local government, the results are prejudiced against measuring performance in terms of economy and efficiency with little regard for effectiveness (Palmer, 1993:32).

The Public Service Integrated Performance Management Systems model is suggested for the public sector in Botswana (PSIPMS).

Figure 6.1 Proposed performance management model



6.5.1 Step 1

Strategic plans and objectives for the organisation

The model adopts a strategic approach to performance management by taking a broad view of where the public sector in Botswana wants to go so that the management of performance is linked to the strategy of the sector. The strategy provides a direction that addresses the needs of the sector and employees through the development and implementation of an integrated system of management and employee development.

The development of an integrated performance and development process ensures a cultural shift and a realization that this will take time and effort and the focus should be on developing a workforce with the required skills and competencies. The model results in a performance management system that is aligned to the strategy of the organisation. The model aims at developing work systems and a working environment that develops employees.

It is vital for employees to understand the strategy and management is required to discuss with employees how their jobs and performance are linked to the strategy of the organisation. Objectives that are critical to the sector are discussed with employees so that everyone sees the relationships between organisational objectives and performance. Everyone should understand that individual goals will be derived from the strategic plan of the organisation. Departmental planning should be done by both management and subordinates to enable everyone to understand the direction that the department has decided to take. It also helps all employees to own the process and the buy – in becomes less of a challenge. Employees should be made to understand that organisational activities are guided and linked to the strategy of the organisation.

Kloot and Martin (1998:15) argue that performance management should be linked to dimensions of an organisation's strategy which include financial, internal business processes, customer/community and growth/innovation and learning. Strategic planning as a process starts by identifying the primary objectives of the organisation. Environmental stakeholders should also be considered and they include customers and the community as well as process

stakeholders who include employees and suppliers (Atkenson, et al., 1997: 29). The strategy should include the following:

- Local government in Botswana is a non - profit ministry but the achievement of objectives can be possible if the financial perspective is considered. In this respect Bussin (2013:108) argues that there is need for the organisation to state how it intends to create economic and sustainable growth. While part of the strategy would include improved customer satisfaction and increased operational efficiency, the strategy should also consider the financial perspective of local authorities.
- The business process perspective would consider processes that would make the local authorities excel to create and deliver their value proposition to the communities (Bussin, 2013:108). The local authorities would consider identifying processes that are more efficient in performing tasks but critical in meeting the needs of customers.
- Local authorities exist to satisfy the needs of customers through the provision of services. If customers are satisfied they will value the services of local authorities. Bussin (2013:108) argues that this virtuous cycle enables an organisation to realise its mission and creates a sustainable platform for it to exist.
- The learning and growth perspective includes the culture, technology, tools, infrastructure, skills and the ability required to achieve objectives of the organisation (Bussin, 2013:108). The learning and growth perspective is the foundation upon which the success of the organisation is built (Bussin, 2013:108). These are the enablers that make the organisation achieve its goals. The model therefore recommends the consideration of these issues in order for local authorities to have an effective performance management system that will result in achievement of objectives.

6.5.2 Step 2

Key result areas and performance expectations

The model adopts a performance planning of key result areas that involves both the manager and the individual employee. The role profile of the employee is defined by both parties and there is an agreement on key result areas. The role profile includes the key results expected, what

employees are expected to know and be able to do and the behaviour that is expected from them in terms of competencies.

The definition of key result areas should include discussions on what the employee perceives as the critical activities to be done and whether the employee believes they can achieve what is expected from them. The model recommends continuous dialogue between the employee and manager on the goals of the employee and whether there is progress towards the achievement of the goals. The discussion should also centre on how the employee or manager will know that objectives have been achieved and what the employee should be able to do to achieve the objectives. Knowledge and skills required to achieve objectives should also be discussed. Values of the organisation should also be included in the discussion between the employee and the manager so that the employee is moulded in a way that will result in performance improvement.

The discussion of individual goals should be linked to the organisational goals. The employee should have a thorough knowledge of management expectations as a result of one's performance and discussions should include what the employee should do to achieve what management expects.

This stage requires both the supervisor and the employee to agree and record the outcome of performance planning and how performance will be measured (Armstrong, 2009: 70). At this stage the evidence that will be used to determine levels of competency are also established by the employee and manager (Armstrong, 2009:70). The personal development plan should also be determined at this stage. Targets and standards of performance are set and there is general agreement between the manager and the employee on the work plan specifying what needs to be done in order to develop the employee, where performance improvement is necessary, that is also discussed (Armstrong, 2009: 70).

During the planning stage the expected results are defined within the role profile of the employee and this should be related to the goals and objectives set (Armstrong, 2009:64). The objectives to be achieved by the employee may have derived from the strategic objectives of the organisation (Armstrong, 2009:64). The agreement between the manager and the employee should also consider success criteria for the tasks to be performed and the method to be used to measure performance based on agreed objectives (Armstrong, 2009:64). The manager and the employee

should also discuss what needs to be done by the employee to achieve objectives. For example there might a need for the employee to raise the level of performance, develop competencies or behave in a way that will assist in the achievement of goals (Armstrong, 2009: 65). The goal is to ensure that the employee has a clear understanding of objectives, performance standards as well the required competencies that will lead to the achievement of goals (Armstrong, 2009:65). The agreement between the manager and the employee guides the employee when performing work activities. The same agreement becomes a reference point when reviewing performance (Armstrong, 2009:65).

6.5.3 Step 3

Measurement of performance

The manager and the employee agree on the measurement of performance. The agreement should centre on the measurement of performance on key result areas. The outcomes of key result areas are crucial in the achievement of individual and organisational goals hence the need to measure their attainment. The discussion between the manager and subordinate focuses on measurement in terms of outputs and outcomes. It should be understood by both parties that the measurement of an output focuses on quantity while that of an outcome focuses on a visible effect resulting from effort that cannot generally be measured in quantity terms (Armstrong, 2009:69).

The manager and the employee should discuss that in all tasks there are going to be those components that are difficult to measure quantifiably but there should also an understanding that all activities produce outcomes although they might not be quantified. The discussion should note the need to measure attained outcomes in comparison to outcomes that were expected with the outcomes expressed in qualitative terms as a standard. It is therefore crucial for the manager and the employee to agree on how they will know that an objective has been attained. For example the objective could be said to have been achieved if the output meets or is beyond the quantified target or when a task has been completed in a satisfactory manner. The two parties should however agree on what satisfactory would imply so that during feedback this does not cause conflict between the manager and the employee. Outcomes may be perceived as a

performance where the employee has delivered an agreed level of service or has done a task at an agreed standard of performance.

Examples of outcomes for the public sector may include achieving certain levels of delivering quality service levels; completion of a task or a project; using additional knowledge and skills to complete a task; colleagues or customers acknowledging one's effort and recognised changes in the employee's behaviour (Armstrong, 2009: 69).

What is important is for both parties to plan the agreement together because the employee will continuously refer to the agreement during the performance period and the manager will also refer to it during monitoring. The agreement also contains a performance development plan specifying what the employee should do to develop and improve performance. The plan should also detail how the manager will assist the employee to develop knowledge and skills. The plan should include details of how performance will be reviewed and when this will take place. The two parties should emphasise the need for them to be willing to work together for mutual benefit.

The agreement between the manager and employee on performance appraisal should include some standard or goal, a performance period during which the manager will monitor the performance of the employee (Bussin, 2013: 24). The agreement should also clarify whether the performance measurement will be qualitative or quantitative. Quantitative measure should include some form of counting, quantifying performance against standards that can be measured while qualitative measures require the judgement of the manager and they may be subjective (Bussin, 2013:24).

The model recommends performance measurement to enable the manager to evaluate changes in performance and provide the employee with opportunities for rewards if the performance is good (Bussin, 2013: 20). Measurement also assists the manager to identify performance challenges that may need to be addressed. Performance measurement has the following advantages (Bussen, 2013:20):

- Communicating performance expectations to employees
- Enabling managers to know what is going on in the organisation
- Helping employees with performance gaps that need to be addressed

- To provide feedback to employees by comparing one's performance to the standard and recommending rewards
- Assist in decision making regarding resources, policies, plans and schedules.

6.5.4 Step 4

Performance of tasks

At this stage the model stresses the need for the manager to provide enough resources that the employee can use to achieve set targets. When the employee has challenges regarding knowledge and skills in performing certain tasks, the manager provides full support so that the employee is able to perform tasks and the support of the manager should be viewed as part of motivating the employee to achieve high performance. Communication between the manager and the employee should be ongoing and the manager should be perceived as someone whose task is to support the employee to achieve objectives.

During the performance activities, the manager judges the performance of the employee using clear standards and combining probabilities in their correct weight (Armstrong, 2009:143). It is important for the manager and the employee to appreciate what constitutes good performance and how it should be measured (Armstrong, 2009:144). It is important for a manager to define and agree standards that would be used to define good performance. (Armstrong, 2009:144). The employee and the manager should continuously discuss progress and there should be ongoing conversations on the performance of the employee (Bussin, 2013: 13).

If goals change unexpectedly, the manager and the employee should change their objectives to match the new goals (Bussin, 2013:13). During this stage the manager's role becomes that of a coach and there should be two – way communication between the two parties (Bussin, 2013:13). Where the employee has challenges of meeting objectives, the manager is made aware of the challenges by the employee and the manager assumes the role of coaching the employee (Bussin, 2013:13).

6.5.5 Step 5

Monitoring of performance

The monitoring stage requires the manager to continuously discuss with the employee informally on how progress towards the set targets is progressing and trying to find out if there are any challenges being experienced along the way. This will show the employee the support that is available from management. Where the employee needs clarification, management provides it.

Coaching is provided by the manager to build on the strengths of subordinates as per the plan. Coaching is perceived as part of the development plan for employees to improve performance. During coaching meetings issues such as career development and self-awareness are addressed. Employees are encouraged to set objectives and goals as a way of challenging and developing themselves and continuously review their performance based on the goals they have set for themselves.

The manager should aim at assisting employees to learn so that they are motivated to learn. Everyone should be keen to achieve more through the guidance of the manager and perceive coaching as an opportunity of enhancing one's knowledge and skills. The manager should empower employees through coaching meetings and allow them to work out solutions on their own.

Armstrong (2009: 169) recommends the following during coaching meetings: asking high impact questions such as “how” and “what” open – ended questions; the exercise should be success driven and what employees are doing correctly should also be identified; encourage openness where employees express their views and allow them to work out solutions rather than telling them what to do. The manager and subordinates should discuss the goal of coaching so that employees realise the need to change behaviour and what they need to do differently to improve performance. The employee should be encouraged to seek regular conversations with the manager so that both of them become aware of what is going on (Bussin, 2013:13). Employees should also be encouraged to monitor their own progress. The manager should provide positive and timeous information to enable the employee to perform effectively (Bussin, 2013:13).

6.5.6 Step 6

Performance appraisal

The model adopts a meaningful appraisal approach which stresses the importance of the needs of each employee and those of the organisation. It should not be perceived as a duty or meaningless chore which has to be done. The process should not be cumbersome and therefore negatively perceived. Both parties should look forward to it because of its benefits.

The planned performance of each individual should be aligned with the overall objectives of the department and the organisation. Standard procedures are to be adhered to by the ratter in order for the process to be objective. Managers are to be trained on rating procedures, effective interviewing techniques and handling comments to mitigate bias. A standardised reference document should be used to assist the ratter. Employees should also be trained on the purpose of the appraisal purpose and procedure. Ongoing assessment should also assist unfair rating of an employee's performance. The development of a constructive appraisal should be developed through informed feedback and coaching. Ongoing assessment should assist in building a relationship between the manager and the employee that will result in an appraisal that is constructive and focused on performance improvement.

The Human Resource department should also be involved by reviewing appraisal forms to ensure fairness of the ratter's judgement. Job profiles are to be used by managers when appraising employees so that the employee is made aware of how he or she fared against the stated duties and key performance areas. The following rating scale is recommended:

Table 6.1: Rating scale

3	2	1
Outstanding performance	Excellent performance	Performance is below average
Performance always exceeds expectations	Performance exceeds expectations at times	Targets are not met
Performance is exemplary	Performance is very good	Performance must be improved
One of the best performers	A highly effective performer	An individual who needs to improve
A top performer in the department	An outstanding performer	Targets proving to be a challenge

The model encourages managers to be consistent with regard to ratings. Managers are also encouraged not to be too lenient or strict as this might demotivate employees. Managers are encouraged not to be affected by the halo effect. What the manager knows about the employee and has nothing to do with performance should not influence the ratings. When measuring the performance of employees, it is important for managers to consider the following (Armstrong, 2009: 231):

- the measuring system should be able to measure activities that make a direct contribution to the performance of the organisation
- there should be a clear communication to the employee on what will be measured
- there should be consistency in applying measurements throughout the organisation
- there should be constructive use of measurement data to enable employees to support the measurement system.

The model recommends for such an approach to the measurement of performance so that employees support the system. Employees are likely to support a system if they perceive it as fair and effective.

6.5.7 Step 7

Feedback on performance and development

The model adopts a positive performance management feedback which stresses on development and improvement. The manager recognises the successes of the individual employee and where there is need for performance improvement a constructive discussion is recommended. During the performance review meeting the emphasis should be on what could be done to improve performance rather than blaming the employee for not achieving targets.

The feedback should be based on facts rather than opinions. The discussion should centre on results, events and behaviours that seem to affect performance and suggestions on improvements are suggested. What should have happened is also discussed comparing it with what actually happened and this is done in a way that encourages and motivates the employee to be hungry for success leading to a belief that objectives and goals can be achieved if the individual improves performance.

The discussion should be a two way process with both parties being open about what could be done to improve performance. The employee should see the benefits of improved performance for both the individual and the organisation. The perception to be developed about performance should be a positive one where the individual perceives poor performance as bad for both the individual and the organisation. The individual employee should be given an opportunity to do most of the talking so that they own the suggested improvements on performance and if suggestions are from the employee, performance is likely to improve.

Feedback should be timely to enable the employee to remember how performance was done and what could have impacted the achievement or non - achievements of set targets. The model recommends a 360 – degree feedback (Armstrong, 2009:113).

Table 6.2 Proposed performance appraisal form

PERFORMANCE APPRAISAL FORM NON – MANAGERIAL	
PURPOSE	
To enable the manager and the employee to evaluate the performance of the employee for the present performance period for the following: . improve individual performance . make suggestions on improvement of performance . improve the relationship between the manager and employee . provide information to the manager for planning purposes . link high performance with rewards	
PROCEDURE	
. The appraisal form should be completed by the supervisor of the employee . Supervisor should be objective and avoid being influenced by personal perceptions on the employee . Decisions on ratings should be carefully considered . the completed form will be reviewed by the next level of management before a review meeting with the employee . The manager should have a review meeting with the employee on the appraisal of the employee and views of the employee to be noted . Ratings should be agreed with the employee . When an agreement has been arrived at the employee should sign as proof that a meeting took place. Where the employee disagrees with the ratings a meeting with the next level of management is suggested . The completed form should be forwarded to the HR department	
Name of employee:	Department:
Position:	Date of joining company:
Date appointed to position:	Salary scale:
Appraisal period ----- to -----	
Date of appraisal:	

Name of supervisor:	
Key performance areas of employee in order of priority Job specific: 1. 2. 3. 4. Generic: 1. 2.	
PERFORMANCE RATING SCALE	
3. Performance exceeds expectations 2. Performance meets expectations 1. Performance has not met expectations	Performance has exceeded expectations Performance has met expectations Performance of the employee has not met expectations
TASK OBJECTIVES	Work Ratings 3 2 1
1. Amount of work – the employee is able to achieve more if need arises 2. Produces high quality work..... 3. Has a good relationship with Colleagues..... 4. Cares for departmental Equipment..... 5. Reliable and punctual..... 6. Skills and knowledge of job..... 7. Attainment of objectives.....	
Total score	
Other key result areas outside the above	
Employee comments	
Objectives for next review (and improvement targets)	

Objective/ Improvement Target	Measure	Deadline
Plans for development and Training recommended		
Employee's special skills		
Skills gaps to be developed		
Plans for development		
Training recommendations		
Signature of employee:		Date:
Signature of supervisor:		Date;
Signature for reviewer:		Date:

Performance feedback can be defined as the provision of information to employees on how they have performed with regard to expected results and behaviours (Armstrong, 2009:105). The objectives of performance review include planning, employee motivation, employee learning and development and communication (Armstrong, 2009: 127). An employee can receive positive feedback when one has done well, constructive feedback when given suggestions on how to improve performance and negative feedback when one is told that performance was below the expected level (Armstrong, 2009:105). Feedback should rely on facts rather than opinions and should refer to results, events and behaviours that have affected performance in one way or another (Armstrong, 2009:106). Feedback is important because it makes a comparison between what the employee has done and what the employee was supposed to accomplish (Armstrong, 2009:106). Feedback looks at the agreed objectives, the criteria for success and the performance measures which are used to establish outcomes (Armstrong, 2009:106; Bussin, 2013:117).

Feedback should be done in a way that is also appreciated by employees because of its factual nature (Armstrong, 2009:106).

Feedback should be done in a way that will make employees fully understand what is good, bad or and why certain performance is said to be bad or good (Armstrong, 2009:107). If it is done effectively feedback should enable the employee to understand how the previous behaviour might have affected performance and how future behaviour might influence performance (Armstrong, 2009:107). It is important for a manager to avoid a long gap between performance events and performance feedback to avoid a situation where the employee may have a challenge of remembering clearly the performance events (Bussin, 2013: 117; Armstrong, 2009:107). Performance feedback is crucial in improving performance hence the need for the model to ensure that feedback is done effectively with both the manager and employee taking part in exchanging ideas on the performance of the employee. The model recommends continuous feedback as well as 360 – degree feedback from the employee’s manager, colleagues, direct reports and customers. This will assist employees to get different perspectives on their skills, attributes and other work – related characteristics that will build a more complete picture rather than only getting feedback from the employee’s manager (Bussin, 2013:117; Armstrong, 2009:113). The rationale for using 360 – degree feedback is (a) to make the employee aware of discrepancies between how individuals see themselves and how other people see them leading to an increase in self – awareness (b) increasing an individual’s self - awareness improves performance (c) enhances understanding of one’s behaviours that will result in increased performance and (d) increase devolution of one’s development and learning (Armstrong, 2009:113).

The performance review process should include the following (Armstrong, 2009:121):

- the aims and success criteria should be clear
- the employee should be involved in the design and implementation of the process
- enable employees to have a clear line of sight between the performance goals of individuals and those of the organisation
- help the employee to focus on performance improvement
- assist employees to have a clear need for training where necessary

- assist employees to see the link between performance and rewards
- appreciate the role played by the performance review process

6.5.8 Step 8

Rewards for good performance

The model recommends for a performance - related pay scheme for individual employees in the public sector in Botswana. The performance - related pay scheme will be linked to the salary of the public service, the employee's grade and the performance rating of the employee. The available funds for the public service will also determine the rewards.

The rationale for the model to rewarding performance is to enhance the relationship between performance and reward and enable the public sector to achieve its objectives through high employee performance as a result of motivated employees. The need to retain outstanding performers should also drive the public sector in Botswana to introduce performance – related pay. The public sector in Botswana is losing high performers to the private sector but this could be reduced if the high performers are rewarded for their efforts.

Such a move would encourage low performers to improve their performance and get rewarded. At present the public sector in Botswana does not have a performance culture as indicated by government officials in public statements and the introduction of a performance – related pay would motivate employees to perform and this would lead to a performance culture in the public service in Botswana. Performance – related pay would also enable management to defend pay differences between high performers and low performers.

Individual employees would be rewarded according to the performance ratings they receive from supervisors. Performance is likely to improve as a result of the introduction of performance – related pay and customer satisfaction is likely to increase. The model recommends that ratings are done quarterly and annual salary increments are based on performance. Monitoring and coaching should however be continuous.

The public sector should have a salary increase percentage on an annual basis depending on the availability of funds. High performers would then receive a higher increase because of their performance. Low performers would only receive a small percentage of the increase. The

increase that an employee gets is determined by the ratings of one's performance. This should motivate low performers to improve performance and get a higher percentage of salary increase. Eventually all employees should perform at a higher level because of coaching and incentives that come with higher performance.

Performance – related pay has various objectives including the following (Bussin, 2013: 129):

- to strengthen the link between performance and reward
- drive the implementation of the strategy of the organisation to the level of individual employees
- retain top organisational performers through rewards
- send a clear message to the organisation that it is serious on issues of high performance hence the awarding of rewards based on performance
- encourage a culture of performance in the organisation
- vary rewards that individuals get in a way that is defensible

The model recommends that ratings for individual employees should be done two months prior to the incremental date and a summary of an individual's ratings should be ready a month before the incremental date (Bussin, 2013: 131). A salary increment should be determined for the public sector and high performers are rewarded the increment. Employees who have low ratings are rewarded a small increase determined by their average rating.

6.6 Rationale for the model

Presently the performance in the public sector in Botswana is low because of the failure of the present performance management model to motivate employees to perform. Various factors have impacted the implementation of performance management negatively including the following: negative perceptions of performance management, associating performance management with industry and the absence of a link between performance and pay. The completing of PDPs is also a challenge as well as other issues such as the cascading approach in the dissemination of performance management information, lack of effective employee coaching, limited development plans; lack of buy – in of the reform because of the use of the top – down approach in introducing performance management and the ineffectiveness of review meetings.

The proposed model is going to address all these issues and ensure the buy – in of performance management resulting from the inclusion of all stakeholders from the initial stage. If the employees buy – in on the model and they feel they own it; they will develop positive perceptions of the reform and make sure that implementation is successful. This is why the emphasis of the model is on collaboration among all stakeholders. Top officials in the public service and employees will be required to share ideas on how the initiative could best serve the interests of the public service and all those involved so that there is a feeling of ownership by all those involved. If there is a feeling of ownership implementation is likely to be successful because employees and managers will feel that they are implementing their performance management system which has their input. Perceptions will be positive in such a situation.

The proposed model will result in the ownership of performance management by managers and employees because they will be involved right from its inception. The model adopts an integrated approach where management and employees collaborate to make the model work. Management and employees work together in all the stages of the model to make sure that the interests and views of all parties are considered and where necessary officials from headquarters should be called to come and address issues so that there is a complete change of mind set towards performance management. The model is about collaboration and discourages any form of cascading which has not worked and can be partly blamed for the current perceptions regarding performance management.

The present negative perceptions will change when coaching enables employees to understand performance management and what it intends to achieve for both the employees and the organisation. When officials from headquarters visit districts for workshops employees would take turns to attend the workshops leaving a skeleton staff in the department so that there is no disruption to service provision. When one group returns those who had remained at work would also go so that everyone has access to first - hand information rather than depending on hear - say. The PSIPMS recommends that every employee should attend training and where necessary get clarification on issues that may not be clear. The emphasis of the model is on integration leading to problem identification and solutions as a unit rather than for managers to impose ideas to subordinates. Employee coaching would play a central role in the model.

For example in the education ministry time could be found during school holidays where teachers attend intensive coaching so that there is clear understanding on how performance management can assist schools to improve performance.

The purpose of appraisals and review meetings should be extensively discussed at workshops to enable employees and manager to feel comfortable about them and appreciate their purpose. The challenge with the current situation in the public sector in Botswana is that reviews create suspicion where employees are not sure if the process is fair. When both parties are objective and discussions are held freely, perceptions will change when both the employees and managers perceive them as activities that are meant to ensure performance improvement through coaching. The conducting of review meetings should also be extensively explained to employees and managers at workshops so that both of them have a thorough knowledge and understanding on the rationale for review meetings and how they should be conducted as well as the benefits of such activities to both the organisation and the individual.

The model also recommends periodical meetings at organisational level to continuously remind each other about performance management issues. The model also recommends that each employee keeps a diary showing review dates and if the manager delays to appraise an employee they get a reminder from the employee that they have not reviewed performance for some time so that the employee is not disadvantaged in receiving coaching. The model recommends total collaboration where the manager, employee and headquarters work collaboratively to enable the organisation to achieve set objectives through performance improvement.

During workshops employees would be taken through the stages of the process and work in groups assisting each other on how to complete PDP forms online and groups make presentations on the tasks done in groups. Feedback is provided to each group or team by all participants so that by the end of the workshop all employees are sure of what to do. If this is done the mind set of employees would change and they would have a positive feeling about performance management. The integrated approach will ensure that every employee is given an opportunity to attend every workshop on performance management rather than getting information from managers who may not cascade it effectively especially on issues that they did not understand at the workshop. The advantage of everyone attending workshops is that if an individual did not understand a certain issue, they would seek clarification or colleagues would assist the employee.

The linking of performance to pay would motivate employees to perform at a higher level because the model sends a clear message to non – performers that if they want to be rewarded they have to perform. The model would introduce a culture of performance in the public sector which is something that is lacking presently.

The model would require government to put aside funds to reward high performers. If there is a will by government to improve service delivery, the willingness should be supported by injecting some money to motivate high performers. The model requires government to be committed to performance improvement and that commitment can be shown by putting money aside for rewards. If there are challenges of funds government may give small rewards and make sure that employees are motivated to perform. The present rewards have little impact on motivation because only a few employees in a department may be given rewards yearly or after two years and that hardly motivates individuals to perform. For example employees may not be motivated if three employees are rewarded in a department after a period of two years. If government is committed some of the reserves that are with the World Bank could be used for rewards so that employees realise how serious government is with performance improvement.

The model would however seek the support of top officials in the public service to support it so that the employees perceive it positively. Driving the implementation would be crucial and line managers would have to play their role in driving implementation and they should feel that they own the model. Teams of officials from headquarters would have to visit districts and hold workshops with all employees rather than management. At such workshops employees would air their views on how performance management could improve their performance and how headquarters and immediate supervisors could assist employees to enhance their performance.

6.7 CHAPTER SUMMARY

This chapter presented a new performance management model known as the Public Service Integrated Performance Management model (PSIPM). However the chapter first gave a brief overview of the challenges faced by the public sector in implementing performance management. Guidelines on developing a performance management were then presented followed by the presentation of the new model.

The model has the following stages: strategic plans; key result areas and performance expectations; measurement of performance; performance of tasks; monitoring of performance; performance appraisal; feedback on performance and development and rewards for good performance.

The model adopts a performance – related pay scheme to motivate employees to perform and to send a clear message to employees that the public sector in Botswana rewards high performance. The rationale for developing such a model is then presented and this includes changing the perceptions of employees by introducing a model that will not be imposed on employees as the current one.

In this model both management and employees would be involved in all the stages of implementation with employees contributing their views. The model is collaborative to include the views of employees so that there is ownership of the performance management programme. If employees are part of the programme this could result in buy – in of the model leading to positive perceptions and increased performance.

CHAPTER SEVEN

CONCLUSION AND POLICY IMPLICATIONS

7.1 INTRODUCTION

Policy plays an important role in the operations of government departments. The study recommends that policy should be formulated so that the recommendations of this study can be implemented. The chapter presents conclusions for the study and makes recommendations that would result in performance improvement in the public sector in Botswana.

7.2 CONCLUSIONS

The study has several conclusions and they were derived from the objectives of the study. They focus on the context of performance management in the public sector in Botswana; the theoretical context and framework of performance management; the impact of performance management on the performance of employees and challenges confronting the ministries of education and local government in performance management. They are as follows:

7.2.1 The context of performance management in the public sector in Botswana

On the context of performance management in the public sector in Botswana the study makes the following conclusions:

Performance management is contextualised as an evaluation exercise whose aim is to rate the performance of the employee. What is important is that at the end of the review period a public sector employee should have a score. The score could be derived from the appraisal of the employee from what the manager perceives should be the score for the individual employee.

The issue of performance improvement seems not to be the goal for performance management. Very little if any coaching takes place and it becomes difficult for employees to improve performance because they may not be aware of their performance challenges because of the reluctance of managers to appraise employees. Performance management is therefore perceived as an activity for completing forms rather than an activity for performance improvement.

The public sector in Botswana still uses traditional performance management where employees complete complicated forms which are difficult to understand and there have challenges of

guidance because managers also find the forms difficult to understand. Performance management is therefore perceived as a form completing exercise that takes a lot of time that could be used by employees to be more productive. Employees view the completion of forms as not important because they do not see the purpose of spending so much time completing forms that will not assist them to have their salaries increased.

Performance management is also perceived as irrelevant to the public sector and employees have a negative perception toward it. The importing of performance management without making sure that it is completely adapted to the local situation has also added to the negative perception of performance management. The negative perceptions and other issues have resulted in performance management viewed as a change which is just like the other ones that have failed.

7.2.2 Theoretical and conceptual framework for performance management

On theoretical and conceptual framework of performance management the study makes the following conclusions:

Motivational theories that underpin performance management include goal theory, control and social cognitive theory. Motivational theories assist managers to create a working environment that would motivate employees to perform. Performance management is supposed to improve employee performance and motivational theories assist managers to be aware of what motivates employees. Motivational theories can therefore be said to have a relationship with performance management because they both aim at improving employee performance.

Motivational theories include the goal setting theory which assists employees to focus on the set goals resulting in improved performance to achieve the set goals. The expectancy theory associates employee performance with expectations they will get as a result of their action. The equity theory argues that employees compare themselves with other employees who have the same credentials and the comparison is on rewards. If managers want employees to be motivated and perform, they should ensure that employees are treated the same.

The reinforcement theory says that behaviour that has pleasant consequences is likely to be repeated. If an organisation rewards high performance employees are likely to repeat that behaviour so that they are rewarded. Social learning theory assumes that the behaviour of individuals can be explained by symbolic processes, vicarious learning and self – control.

Individuals can learn by observing others. Through management coaching individuals can improve performance leading to achievement of organisational objectives.

Maslow's needs theory and Herzberg's two factor theory can assist managers by making them aware that individual employees have needs which organisations should try and fulfil. The ERG theory also assumes that individuals concentrate on those things that are necessary for existence. The acquired needs theory assumes that needs are acquired or learned through an individual's experiences in life. Performance management can therefore be said to have a relationship with the motivational theories because they both aim at improving employee performance.

7.2.3 The impact of performance management on the performance of employees

On the impact of performance management on the performance of employees, the study makes the following conclusions:

Objectives of performance management include the development and improvement of performance; changing the culture of an organisation to high performance culture; developing the capacity of individuals to exceed expectations and to provide support and guidance for individual employees.

The implementation of performance management should be guided by the following stages: identification of mission, goals and objectives; formulation of departmental and individual objectives; signing of performance agreement; performance and development plans; performing of tasks; monitoring and feedback and formal review. High performers can then be rewarded for good performance.

The review process is meant to achieve the following: measure the performance of the subordinate against agreed targets; give feedback to the subordinate on performance; praise the subordinate where performance was good; exchange views on performance issues and agree on action plans.

Many countries have implemented performance management in the public sector and some countries have experienced improvement service delivery as a result of performance management. Countries that have had success stories include Australia, Canada, New Zealand, United Kingdom and the United States.

The implementation of performance management in the United Kingdom is said to have improved performance. In 1991 the United Kingdom introduced the performance appraisal system for teachers in public schools. The performance of schools has since improved as a result of the introduction of the performance appraisal system. A number of studies have shown that the introduction of performance management in the United Kingdom has resulted in the improvement of service delivery in local authorities. However other studies in the United Kingdom have revealed that the effectiveness of performance management in improving performance is still questionable.

When performance management was introduced in the United Kingdom there were doubts on the ability of supervisors to be objective in appraising subordinates. For example there was concern on how school heads were going to handle appraisals in subjects that they were not specialists in. Pay for performance was also not well received by some school heads who thought it would demotivate those who were not rewarded as a result of poor performance.

In the United States the introduction of performance management resulted in the public having access to information on schools, teachers and the performance of learners. Performance management has also resulted in the narrowing of the curriculum allocating more time to reading and mathematics because teachers and schools are evaluated on these subjects.

In Malaysia performance management was introduced because of pressure for the public sector to perform. Performance in the public sector in Malaysia has exceeded set targets. Highlights include a 39.7% drop in street crime resulting from the visibility of the police; a 5% increase in pre-school enrolment; 3100 poor rural women receiving entrepreneurship training; 4.3 million rural people having access to clean water supply, electricity and paved roads.

However other studies have indicated that there are still challenges and the reduction in crime does not seem to match the increase crime rate in the streets where the rate of crimes such as rape, robbery and kidnapping are on the increase. Some studies have been criticised for not being objective hence the impressive successes of the implementation of performance management in the findings of these studies.

Kenya introduced public sector reforms in 1993. Previous reforms have failed because of lack of political will. Previous reforms include the early retirement of civil servants as a cost reduction

measure; the rationalisation of government departments to determine the size and structure of the public service and in 2004 performance improvement was introduced. The current aim in Kenya is to implement reforms that would result in an efficient, effective and ethical service delivery.

Although it is still not yet clear how effective the introduction of performance management has been, there has been a noticeable improvement in the generation of profit by public enterprises. There have also been significant improvements in service delivery across government departments.

On the impact of performance management in the public sector in Botswana, the study used the qualitative method of data collection. Participants of the study were composed of 80 officers from the two ministries. There was a focus group from each ministry which was composed of five officers. Each officer responded to ten questions and their responses were audio –taped and then analysed using the NVivo software package.

On the perceptions of performance management, respondents of the two ministries revealed that employees had a negative perception on the reform and it was generally perceived as time wasting because of the amount of paperwork involved. The perception was that time taken in completing forms could be utilised productively performing other organisational tasks. The participants were of the view that the negative perception on performance management had resulted in implementation failure in the public sector in Botswana.

Negative perceptions were also as a result of the absence of rewards for high performance; unfair perceived selection of best performers in departments; doubts on criteria used to select best performers in departments for awards; challenges of completing PDPs; use of the top – down approach in introducing the reform; lack of consultation with implementers on the innovation; lack of understanding of performance management by both supervisors and subordinates; ineffectiveness of performance review meetings; importation of performance management from developed countries; poor work ethic and resistance to change.

On how performance management impacts on the performance of employees, participants revealed that the measurement of what the employees had done during the review period impacts on their performance. The measurement of performance on a given period of review motivated employees to perform. Some participants of the study from the two ministries were of the view

that some employees seemed not to take note of the impact of performance management on their performance because of the view that performance management was a ministry required which had to be done and was not associated with improvement of performance.

Participants of the study were of the view that the following is the impact of performance management on the performance of employees: making employees to focus on set targets; motivating employees to perform; creating employee awareness that performance will be reviewed; making employees aware of their performance strengths and weaknesses; making employees to be accountable of their performance and performance improvement resulting from set targets.

On what is done in the two ministries to ensure support of new initiatives by management and subordinates, participants were of the view that not much was done. The challenges of the two ministries include lack of resources to visit all districts when a new reform is introduced; lack of an effective method of disseminating information; lack of involving implementers from initial stages of a reform; poor communication between headquarters and schools or districts; lack of taking implementers seriously when introducing an initiative; influence of trade unions and lack of a buy –in by the implementers. If the two ministries did not develop new ways of disseminating information on new initiatives, lack of support for new initiatives would continue in the two ministries.

On what would make management not support an innovation such as performance management, the participants were of the view that some top officials in ministries support an initiative that puts them in the limelight. Top ministry officials wanted to appear on newspaper headlines as having introduced an initiative in a ministry and would generally not support an initiative introduced by another official because it did not give them the glory they want. They would go to the extent of discontinuing an innovation introduced by another official if that official is no longer in the ministry. Participants were of the view that top officials seemed not to like someone's innovation to be associated with performance improvement in a ministry that one had left. The glory should go to the present incumbent as a top official of the ministry.

Participants were of the view that some managers did not support certain initiatives for political reasons and instead of being implementers they brought politics into the work place. If managers

criticise an innovation this would trickle down to subordinates leading to lack of support of an innovation. Other reasons for not supporting an innovation such as performance management include management perceptions that previous ways of doing things were better; performance management taking a lot of productive time; doubts on whether performance management implementation results in improved performance; lack of effective communication on the implementation of an innovation as a result of the top – down approach; lack of involvement of management from the initial stages; use of the cascading approach to disseminate information has proved ineffective; lack of buy- in of an innovation resulting from non- involvement of management from the initial stages; ineffective roll out plan by ministries and the lack of the feeling of ownership of a reform by managers based in the districts.

On the perception of whether the two ministries were innovative in performance management, participants were of the view that the ministries were indeed innovative but most of the new initiatives were imported from other countries. The challenge of adapting the innovation to suit local conditions and situations was viewed as a challenge by participants. The PDP forms had been modified several times to suit local conditions.

The ministry of education had conducted workshops to inform school managers that the ministry would continue to benchmark with other countries in an effort to improve teaching and learning. Barriers of innovation in the public sector include regulatory requirements; bureaucratic structure and system of controls and regulations. These limit innovation in the public sector.

Participants from the local government ministry identified decentralisation as one of the innovations that had enhanced service delivery to local communities. The participants revealed that there was some innovation in performance management but this was also met by resistance from employees because of lack of understanding of performance management.

Participants from both ministries were of the view that motivation plays a role in the accomplishment of set goals. Ministry of education participants indicated that the ministry had improved the welfare of teachers by providing them with subsidised housing and some good performers in both ministries had been rewarded with trips to China if there was a government delegation going to that country. The “excellence awards day” was also aimed at rewarding top performers in the various ministries. However this was subject to availability of funds.

Other ways of motivating employees in the ministries included fast tracking of promotions for high performers; certificates and letters of appreciation and retreats to tourist resorts if funds were available. Participants of the study from the local government ministry revealed that there was concern among employees on the criteria used to select employees to be rewarded on the: “excellence awards day” because some employees who had been rewarded were known to be poor performers by colleagues.

The other issue was that PBRS had not been effective in motivating employees because of the absence of monetary rewards. This had demotivated employees because the rewards that were promised at its inception did not materialise.

Participants from both ministries were of the view that there were challenges in the implementation of performance management. These included resistance from employees; perception of performance management as a burden to both management and subordinates; fear of performance appraisals; negative perception of performance management by managers; ratings perceived as unfair; attitudes of managers in conducting effective performance reviews; poor work ethics; lack of support of performance management by high ranking officials; lack of understanding of performance management; lack of buy – in of performance management by employees; perceptions that performance management was not suitable for the public sector; setting of targets and completing PDPs.

7.2.4 Challenges confronting the ministry of education and skills development in performance management

On the challenges confronted by the ministry of education in implementing performance management in Botswana the following were the conclusions:

Primary education is free in public schools and is the responsibility of the education and local government ministries. Secondary education is a five year programme with three years spent at junior secondary school and two years at senior secondary school.

Developing countries have generally had challenges in reforming public education because of a number of reasons including pressure from external institutions such as the World Bank; reforms that are imported from other countries; lack of communication between top officials and

teachers and mismatch between the content of a reform and local conditions. Botswana however has had no pressure from the World Bank.

Reforms that have been implemented by the education ministry in Botswana include the annual confidential report; job evaluation for teachers and the teacher performance appraisal scheme as well as those related to management namely the secondary schools management development project and the pastoral care system.

The rationale for introducing PMS included responding to the new realities and challenges the country faced in the twenty-first century; assisting the country to achieve its aspirations; restoration of public confidence in public sector service provision; making the public sector competitive and innovative and to inculcate a culture of high performance.

Challenges that have confronted the public sector in the implementation of performance management in Botswana include lack of managerial experience in implementing performance management; lack of effective feedback on employee performance; absence of performance rewards; lack of the use of standard measurement tools for performance and lack of performance management support by managers.

Reforms in the school context can be better understood with regard to how they affect the structure and culture of the school setting. PMS may change the work environment, distribution of power, information and skills. The introduction of PMS in the education ministry changed the culture of the school system. When introducing performance management there is need to unfreeze the existing culture by removing artefacts associated with the old culture.

Challenges confronting the education ministry in performance management include poor work ethic; resisting change; strained relationships between teachers and school managers because of the redefined role of school managers; lack of trust of managers by subordinates; lack of understanding of PMS; lack of understanding on how PMS can benefit the core business of the school; perception that PMS is not relevant to the academic environment; lack of stakeholder involvement at the initial stages of PMS; handling of activities that are not part of performance contract; contextualising PMS to a public school and agreement on what is effective teaching.

Other challenges include lack of confidence for school managers to lead the implementation of PMS; use of the cascading approach to disseminate information on performance management; school managers' lack of skills to appraise and supervise teachers; unclear performance indicators; questionable performance and effort of employees; management lack of monitoring and evaluation skills and inadequate resources for effective implementation. Challenges faced by the ministry also include management views that priorities of performance management are not priorities for schools; lack of incentives to motivate employees; management perceptions that they manage papers instead of people and lack of support from regional offices of the ministry.

Performance management has also been criticised for lack of conclusive evidence that its implementation leads to improved performance; can lead to the demotivation of employees; challenges of setting objectives; time consuming process; possibility of lack of objectivity; promotion of managerialism and its promotion models of intrusive control.

7.2.5 Challenges confronting the ministry of local government in performance management

On challenges confronting the implementation of performance management in the local government ministry the following were the conclusions:

The legislative framework of local government in Botswana is contained in the following instruments: Local Government Act, 1965; Townships Act, 1965; Unified Local Government Act, 1977 and the Town and Country Planning Act.

The local government ministry provides a variety of social services to urban and rural communities. They include health, primary education, tertiary roads, water and the development of remote areas, governance and community services.

Central government is headed by the president and local authorities in cities and towns are headed by mayors with district councils headed by council chairpersons. Four pillars that shape local government are councils, district administration, land boards and tribal administration. Local government is presently made up of ten rural and six urban districts. City and town councils as well as district councils act as agencies of devolution and they derive authority from statutes to enable them to perform their functions. Chiefs have continued to play an important role in rural areas.

Challenges confronting local authorities in implementing performance management include the importation of private sector management styles into the public sector; lack of support from top management; lack of training for both managers and subordinates; change of organisational culture and setting of clear and realistic targets.

Other challenges include negative perceptions by supervisors who perceive performance management as an additional duty; failure to measure performance because of subjective objectives; initial performance objectives losing their importance towards the review time and no longer regarded as critical success factors and lack of effective performance feedback. Performance management in local authorities is generally concerned with political and managerial accountability. Performance measurement in local authorities is biased towards efficiency rather than effectiveness.

Challenges confronting local government in Botswana include the size of the ministry which is the biggest in the country; negative perceptions on performance management; limited capacity of local authorities; the top – down approach in disseminating information on performance management; low employee morale and motivation leading to low productivity; reform fatigue; management lack of appraisal skills; poor management supervisory skills; lack of management skills to monitor and evaluate employee performance; structures and organisation of local authorities; poor service delivery to customers; poor working conditions; poor work ethic; mismanagement; weak implementation capacity and bureaucratic dominance.

Employee resistance to change is common in the public sector. Resistance may result from the use of a top – down management approach; policies; rules and regulations; personality; context of the change; anticipation of unwanted outcomes; lack of clarity on the nature of change to the employees and how it will affect them; employees having strong forces influencing them against the change and when employees are pressured to accept change without their input into it.

Other factors that may result in employee resistance include uncertainty about job security; lack of confidence in management; pressure from colleagues; poor relationships among work teams; uncertainty about status; interference with customs and traditions; poor diplomacy and timing as well as personality clashes.

In the public sector resistance may be as a result of bureaucratic procedures such as delegation and standard procedures; many layers of authority; limited self – control and self – direction and many conflicting interests.

Factors that may affect success of change include adequate resources; having a guiding coalition; establishing the need for change; having a commitment plan and altering structures and human resource systems.

Challenges of implementing reforms in the public sector include implementing reforms that are donor funded and may lack local support; weak implementation; limited resources; implementing private sector reforms into the public sector without considering the features of the public sector; ignoring objectives, values and ethos of the public sector; challenges associated with measurement of productivity in the public sector and change of government leadership.

Public organisations have tended not to adapt or take risks and have lacked moving towards outcomes such as productivity and efficiency. Public sector organisations require a culture that promotes innovation and it might be a challenge for politically imposed reform programmes to enhance the development of an innovative culture. Changing the culture of the public sector in Botswana could be one of the challenges affecting effective implementation of performance management.

Theoretically performance management in the public sector should be able to improve performance if objectives are clear and implementation procedures are followed. The employee should also have the required skills to perform the task. Managers should view performance information as important in strategic decision making for performance improvement and employees should view performance management as assisting them to define goals, set performance targets and motivate them to achieve set goals. The promise of performance management is that if goals are clear and measurable, employees will be motivated to perform and achieve set targets.

In order for performance management to be effective, it is important to get the conditions right. This may include effective leadership and well - designed performance management systems.

Objectives of introducing PMS in Botswana include quality service delivery; increase the capacity of the public service to deliver efficient effective service; enhancing the capacity of public employees to improve productivity and to achieve national visions through improved performance.

Challenges that have confronted the public sector in Botswana to implement successful performance management include use of the top – down approach to disseminate information on performance management; fatigue of many performance management initiatives which have overwhelmed employees; lack of knowledge or information about performance management; lack of commitment of senior officials in performance management; lack of training for performance coordinators; limited funding for performance management implementation and the limited authority of DPSM in decision making on issues related to performance management.

Challenges confronting the education and local government ministries in implementing performance management include negative employee perceptions on PMS; fear of appraisals; lack of management skills to conduct effective performance reviews; lack of skills by managers to coach employees effectively; lack of training on PMS; lack of inclusion of managers from the initial stages of PMS and limitations of innovative performance management in the public sector because of the bureaucratic structure.

The other challenge is the shortening of the working week where senior officials abandon their work stations on Fridays to attend to their personal activities. Juniors copy the actions of their seniors. Ladies also abandon their duties thirty minutes before the end of the working day for “freshening – up” leaving no one to assist customers. Monday mornings are also dedicated to catching up with the events of the previous weekend.

7.2.6 Proposed performance management model for the public service in Botswana

On the proposed performance management model for the public sector in Botswana the following were the conclusions:

Productivity in the public sector in Botswana has negatively affected the country's ability to be competitive and government leaders have voiced their concern on the lack of a performance culture in the public sector. In 1993 the government introduced several measures to try and improve public sector performance. The establishment of work improvement teams; salary reviews; the Botswana National Productivity Centre; performance related pay and performance management systems were an attempt by the government to try and harness the challenge of productivity.

In order to improve service delivery the government of Botswana mandated DPSM to develop an initiative that would lead to improved service delivery. Between 1995 and 1997 several initiatives were introduced including a performance passed reward system, business process reengineering and decentralisation. The initiatives did not however improve performance and efficiency in the public sector.

The Botswana National Productivity Centre was then given the responsibility to introduce performance management in the public sector. They were to be assisted by an American consultancy group known as Performance Centre Ministries. DPSM managed the project while BNPC was in charge of training.

In 2004 the government hired Ernest & Young Consultants to evaluate the implementation of PMS in the public sector in Botswana. The findings revealed that ministries were able to prepare strategic plans, workshops on performance management were held in various parts of the country; there had been a slight improvement on service delivery; ministries and departments were focused on priorities; junior employees had little or no knowledge about PMS; PNPC consultants had little knowledge of PMS; there was lack of commitment at both management and lower levels and employees were reluctant to change from their old ways of doing things.

The implementation of performance management in the public sector in Botswana faces several challenges including negative perceptions about PMS; lack of training; perceiving performance management as irrelevant to the public service; lack of performance related pay; lack of management support of PMS; lack of commitment from headquarters and ineffectiveness of the cascading approach.

Some of these challenges have affected the implementation of performance management hence the need for a new model of performance management that will result in performance improvement and customer satisfaction. DPSM has alluded to the fact that there is a need to think of new ways of performing government work.

The development of a new performance management system should be guided by a clear organisational strategy; effective leadership with a clear vision; management and employee willingness to see the innovation succeed; effective communication between management and employees and a link between performance and rewards.

The proposed performance management model for the public sector in Botswana is the Public Service Integrated Performance Management Systems (PSIPMS). The model comprises of strategic plans; key result areas and performance expectations; measurement of performance; performance of tasks; monitoring of performance; performance appraisal; feedback on performance and development and rewards for good performance.

The rationale of the integrated approach is that all stakeholders will be involved in the reform right from the initial stages resulting in ownership of the innovation. Both managers and employees will have an input into the innovation resulting in a feeling of ownership of the reform. The objective is to ensure that all employees attend workshops and are thoroughly trained so that they understand the relevance of performance management in their department and how it can assist them to improve performance. The model seeks to ensure that all stakeholders take part in all the stages of the innovation and the feeling of ownership will motivate employees to implement the programme effectively because they own it. The emphasis of the model is that it belongs to everyone in the department and is not an imposition. Once the mind – set is changed and employees have a positive perception about the innovation implementation is likely to improve leading to improved service delivery and customer satisfaction.

7.3 POLICY IMPLICATIONS

This study suggests the following policy implications that could result in the effective implementation of performance management in the local government and education ministries as well as the entire public sector in Botswana.

7.3.1 Setting clear policy objectives for performance management

The study recommends that the Ministries of Education and Skills Development and Local Government should set clear objectives on the implementation of performance management derived from the national policy on performance management that all government ministries have. The study proposes the following to be done:

1. The headquarters of the two ministries should formulate strategic plans; annual performance plans; performance agreements as well as employee development plans. The plans should function from the beginning of each financial year to align them with the availability of resources. Resources should be made available for the implementation of strategic plans.
2. Headquarters of the two ministries should lead in the formulation of strategic plans so that departments and schools can derive their strategic plans and performance plans from those of the ministry. Departments and schools should formulate their performance plans in consultation with the ministry's headquarters to ensure alignment. This will ensure that the performance plans of the departments and schools are aligned to the national development plan.
3. Both ministries should ensure that their performance plans include short term and long term objectives in line with the national development plan.

7.3.2 Create a team of performance management champions

The study recommends that the two ministries should create a team of performance management champions among employees. The following could be done to achieve the recommendation:

1. The two ministries should make senior officers in the ministries accountable for the implementation of performance management. These include directors of departments and managers of schools. These individuals should act as visionary leaders whose role is to ensure implementation success.
2. Increase the number of performance coordinators in the two ministries and send them for training regularly so that they acquire knowledge on the latest methods of implementing performance management.

3. Positions of performance coordinators should be filled by individuals who are trained and knowledgeable in performance management so that they are confident in conducting workshops on the implementation of performance management.
4. Accountability and responsibility for employees' performance should be strengthened to make individuals accountable for their performance in order for performance to improve.

7.3.3 Strengthening management capacity in performance management.

The study recommends that the two biggest ministries in the country should undertake an intensive training programme for managers and supervisors. This could be done through the following:

1. Establishing a training institution for managers and all stakeholders who are involved in the appraisals of employees. Specialists in performance management would be responsible for training managers so that they gain knowledge on performance management and develop confidence in leading performance management implementation.
2. Workshops on performance management should be held regularly to enable employees to acquire knowledge and change their mind – set on performance management.
3. The two ministries and other ministries can send poor performers to the training institution so that they can acquire skills that will improve their performance and also appreciate the implementation of performance management in the public sector.
4. Strengthening the structures of performance management coordinators and enable them to make decisions relating to the needs of managers and employees regarding training and scheduling of training.
5. Strengthening the offices of departmental managers and school heads by making them champions and drivers of the implementation of performance management.
6. Appointing officials in the two ministries to participate in strategic ministerial meetings because of the importance of performance management in the ministries. It is an area that must be represented at the strategic level of each ministry.
7. Establishing performance management committees at each station and school to assess the implementation of performance management and make suitable suggestions on what could be done to overcome implementation challenges.

8. Forge strategic partnerships with other institutions such as the University of Botswana, the Botswana Institute for Development Policy Analysis, Botswana Public Service College, Institute of Development Management and the Botswana National Productivity Centre to assist in research and evaluation of performance management.

7.3.4 Promote effective implementation of performance management

The study recommends the promotion of effective implementation of innovative performance management through the following:

1. Change the implementation strategy from the cascading approach to a participatory or bottom –up approach so that there is a feeling of ownership by the implementers. Hierarchical chains of command should be replaced by flattened institutional structures that enable subordinates to have some input into an innovation.
2. Employee empowerment and engagement should replace the current management command and control where employees have very little to contribute to an innovation other than implementation. When employees are empowered buy-in will be easier because of the feeling of ownership. The command and control model generally results in failure and the bottom – up approach is recommended as it will empower employees and such an approach has a low rate of failure because of the motivation employees have on an innovation they are involved from the initial stages.
3. Ownership of innovations should be shifted from senior officials to line managers and subordinates who are the implementers. This will result in them taking the implementation of an innovation as part of their everyday responsibilities rather than an imposition from senior officials (Hope & Player, 2012:1x).
4. There should be deliberate attempt to develop systems that support performance planning. Relevant skills, knowledge and skills should be developed in areas such as coaching, performance monitoring, conducting review meetings and formulating development plans.
5. Ministries should hold regular workshops for continuous improvement where ideas and experiences are shared by all stakeholders. Such platforms should be used to train employees to have a thorough understanding of performance management (Davenport & Gardiner, 2007: 304).

6. Training management on conducting effective performance appraisals so that the process is perceived as just and fair by employees. Emphasis on equity treatment of staff in all areas of management including ratings should be emphasised at such workshops as this creates a positive perception of management teams by subordinates.
7. Introduction of rewards for performance to motivate employees to perform as a policy for the public service. The rewards could be a bonus at the end of the year or a salary increment for high performers. The introduction of rewards will create a link between performance and rewards. This will send a clear message to employees that high performance is rewarded in the public service. Other countries such as Malaysia have linked performance to rewards and this has resulted in improved employee performance (Rana, 2011: 178).
8. Reducing the current levels of performance ratings of five to three. This will assist in reducing biasness by supervisors and literature suggests that if there are more than three levels that might result in distribution challenges for the ratter (Glendinning, 2002:166). Fewer rating levels result in better ratings because most supervisors are able to identify their top, average and poor performers Glendinning, 2002:166).

7.3.5 Strengthen the culture of accountability and responsibility

The study recommends the strengthening of a culture of accountability and responsibility in the two ministries and the public sector in general to promote a culture of hard work; respect of deadlines; performance orientation to replace poor work ethic practices, negligence of duty and indifference (Hope, 2003:301).

The study proposes the following to be done:

1. There should be a review of job descriptions to ensure that senior officers perform roles that are stipulated in their job descriptions rather than performing routine tasks meant for junior officers. This will ensure that they are responsible for the implementation of performance management and they are held accountable for performance reviews and coaching of employees.

7.3.6 Strengthen communication between ministries/ headquarters and departments

The study recommends the strengthening of communication between departments to share best practice on the implementation of performance management as well strengthening communication between headquarters and departments/ schools

The study proposes the following to be done:

1. Ministries should adopt effective ways of communicating with each other on issues related to effective implementation of performance management.
2. Ministries should adopt a communication approach that is less hierarchical allowing employees at the same level to share information on issues related to performance management.
3. Encouraging a strong working relationship between employees of different ministries resulting in cooperation and collaboration where sharing of information and challenges related to performance management become a daily activity. Inter – ministerial meetings among managers and employees to be adopted to encourage sharing of ideas and experiences as well making recommendations of what ministries should do to strengthen sharing of information on best practice.
4. Introduction of inter – ministerial action plans for the promotion of dialogue and collaboration on activities that ministries could implement to celebrate productivity as the public service. Themes could vary from year to year depending on the emphasis for that particular year.
5. Expedite the production of a clear policy on the implementation of performance management giving guidelines and the position of the public service on the issue so that every public service employee becomes aware of government policy on performance management.
6. Employees entering government service to be provided with a copy of the policy on performance management.

7.3.7 Strengthen decentralisation and empower local authorities

The study recommends the strengthening of local authorities in decision making related to employee performance. This could be done through the following:

1. Creating policy to enable local authorities to widen their revenue base and be able to use some of the revenue to reward high performers. Supervisors in local authorities would be empowered to monitor and appraise employees leading to the rewarding of high performers.
2. Removing centralised administrative controls and enable local authorities to be semi – independent in decision making and appointment of employees so that local authorities feel empowered rather than depending on central government for resources to run their affairs.
3. Local authorities can attach their staff to central government to get necessary skills to enable local authorities to be more independent and not rely on central government for expertise on issues related to performance management. This will enable local authorities not to depend on employees seconded to them by central government and it allows local authorities to be dependent on staff recruitment. Local authorities are in a better position to identify their requirements on staffing issues and when they are independent in hiring staff, they will be in a position to hire staff that will meet their needs.
4. Central government to monitor service provision and where necessary carry out visits to different ministries to ensure that performance management is implemented according to policy guidelines.

7.3.8 Strengthen use of technology in ministries

The study recommends the strengthening of the use of information technology to enable online service provision and communication among employees. This could be done by doing the following:

1. Ministries to develop online systems and encourage employees to use online systems to share information among departments to enable increased flow of information between employees in the same or different departments.
2. Ministries to introduce the completing of PDPs online as a way of simplifying the process and discouraging the perception of perceiving performance management as a form completing activity.

3. Ministries to disseminate performance management information online rather than using traditional methods that may prove ineffective.

7.3.8 Introducing innovative performance management in the public sector

The study recommends that the public sector should introduce innovative performance management to improve employee performance. This could be done through the following:

1. Shifting the focus of performance management to an emphasis on coaching to improve performance.
2. Training managers on coaching skills to enable them to be confident in coaching employees.
3. Workshops on equipping managers with appraisal and monitoring skills.
4. Linking pay to performance as a way of encouraging employee performance.
5. Reducing paperwork to change the perceptions of employees that performance management is a paperwork activity
6. Introducing continuous monitoring of employee performance and continuous dialogue between employees and managers.

7.4 AREAS FOR FURTHER RESEARCH

The study suggests the following areas for further research in the public sector in Botswana:

1. Conditions necessary for successful implementation of performance management in the public sector.
2. Changing negative perceptions of employees on performance management systems in the public sector in Botswana.

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APPENDICES

INTERVIEW GUIDE

1. What are the perceptions of performance management in the ministry?
2. How does performance management impact on the performance of employees?
3. Does performance management actually improve performance?
4. How does performance management improve the performance of employees?
5. What is done in the Ministry to ensure that both management and other staff members support a new performance management initiative?
6. What would make management not support an innovation such as performance management in the Ministry?
7. Do you perceive your Ministry as being innovative in performance management?
8. Does motivation play a role in the accomplishment of set goals?

9. What challenges are confronting the Ministry in performance management?
10. What could be done to improve performance through performance management initiatives? Appendix B : Research permit

RESEARCH PERMIT MINISTRY OF EDUCATION

TELEPHONE: 3655400/3655483
TELEX: 2944 THUTO BD
FAX: 3914271



MINISTRY OF BASIC EDUCATION
PRIVATE BAG 005
GABORONE, BOTSWANA

REF: DPRS 7/1/5 XXX (22) PAO-Research

18th May 2017

Mr John Bester
PO Box 47787
Phakalane

Dear Sir

RE: PERMIT TO CONDUCT A RESEARCH STUDY

This serves to grant you permission to conduct your study in the sampled areas in Botswana to address the following research objectives/questions /topic:

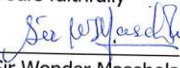
Innovative Performance Management in the Public Sector in Botswana: towards a new model.

It is of paramount importance to seek **Consent** from the Departmental Directors and sampled staff in the Ministry of Basic Education that you are going to collect data from. We hope that you will conduct your study as stated in your proposal and that you will adhere to research ethics. Failure to comply with the above stated, will result in immediate termination of the research permit. The validity of the permit is from **18th May 2017 to 17th May 2018**.

You are requested to submit a copy of your final report of the study as stated in the Research Guidelines (para 4.5 - 4.6, 2007) to the Ministry of Education and Skills Development, in the Department of Educational Planning and Research Services, Botswana.

Thank you.

Yours faithfully


Sir Wonder Masebola
For/Permanent Secretary



moesd16885@gov.bw Private Bag 005 Gaborone



TELEPHONE (027) 3655469
TELEX: 2944 THUTO BD
FAX: 3185167

REF: DPRS 7/1/ 5XXVI (58)



REPUBLIC OF BOTSWANA

MINISTRY OF EDUCATION
AND SKILLS DEVELOPMENT
PRIVATE BAG 005
GABORONE

6th July 2016

Mr John Bester
PO Box 47787
Phakalane
Gaborone

Dear Sir

Re: Missing research documents for your proposed study titled: Public Management and Governance.

The above subject matter refers.

This serves to inform you that your application for a research permit dated 10th June 2016 does not meet the requirements. The following are requirements that are missing from the application;

- Research proposal-Chapter 1-3
- Research Guidelines-complete Appendix 4.
- Research instruments –questionnaires/interview/observation checklist etc.
- Brief Curriculum Vitae

You are kindly requested to submit copies of the above documents to facilitate the processing of your application.

Thank you.

Yours faithfully

Sir Wonder Masebola
For/Permanent Secretary



RESEARCH PERMIT MINISTRY OF LOCAL GOVERNMENT

TELEGRAMS: MERAPE
Telephone: 3658400
Fax: 3902263/1559



REPUBLIC OF BOTSWANA

Ministry of Local Government
& Rural Development
Private Bag 006
Gaborone
BOTSWANA

Ref Number CLG 14/14/3/1 II (40)

July 14, 2016.

Mr John Bester
P. O. Box 47787
Gaborone

Dear Sir,

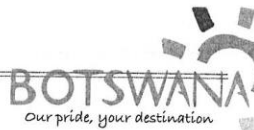
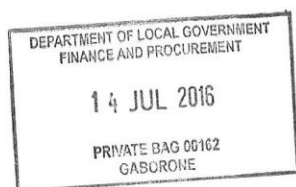
RE: RESEARCH PERMIT

This serves to acknowledge your application for a research permit in order to carry out a study entitled "Innovative Performance Management in the Public Sector in Botswana: Towards a New Model."

We are pleased to grant you a permit. This permit is valid for a period of eighteen (18) months – commencing on July 14, 2016 to December, 2017 – and it is granted subject to the following conditions;

1. Copies of the final product of the study are to be directly deposited with the Ministry of Local Government, National Archives and Record Services and University of Botswana Library.
2. The permit does not give you authority to enter any premises, private establishment or protected areas. Permission for such entry should be negotiated with those concerned.
3. You conduct your study according to particulars furnished in application you submitted taking into account the above conditions.
4. Failure to comply with any of the above stipulated conditions will result in the immediate cancellation of the permit.

Yours Faithfully,



MLG – A centre of excellence in local governance & social service provision for improved quality of life

CONSENT FORM

CONSENT FOR PARTICIPATION IN INDIVIDUAL INTERVIEWS AND FOCUS GROUP DISCUSSION RESEARCH

1. I volunteer to participate in a research study conducted by John Bester, a student at the North West University Vaal- Campus in South Africa. I understand that the study is designed to gather data on Performance Management in the public sector in Botswana. I am aware that the total number of people to be interviewed or take part at Headquarters is approximately 40.
2. My participation in the interview is purely voluntary and I also understand that I will not be paid for taking part in the activity. I may withdraw from taking part in the activity at any time and will not face any punishment at all. If I decide to withdraw, the researcher will not tell any of the participants of my decision to withdraw.
3. Participation will be in the form of being interviewed by the researcher. I understand that the interview will be audio –taped by the researcher. I understand that if I do not feel comfortable to be taped I will not participate and the researcher will respect my decision.
4. I understand that the researcher will not disclose my identity in the study or to anyone and that my identity will remain anonymous. I also understand that confidentiality on what will be discussed may not be guaranteed because some participants may decide to discuss some of the issues with people outside the group.
5. I understand that the interview will not last more than an hour and it will be done only once.
6. I have been given an opportunity to ask questions on issues that I do not understand.

My Signature

My Name

Date

Researcher's
Signature of Researcher

Contact

Details

APPRAISAL FORM LOCAL GOVERNMENT

FORM DPSM 6
(Revised 02/06)

PERFORMANCE-BASED REWARD SYSTEM PERFORMANCE AND DEVELOPMENT PLAN AND REVIEW DOCUMENT

General Guidance

1. The basic purpose of this instrument is to objectively assess the officer's performance on the agreed objectives for a given year. The accurate assessment will provide vital information for management decision-making. More specifically the assessment will influence decisions regarding: a) the officer's performance rating; b) awarding of reward; c) specific training and development needs of the officer to improve performance and productivity; and d) the suitability of the officer for appointment to permanent service or potential advancement to higher grade.
2. For the assessment to be objective it is essential that the reporting officer (a) thoroughly understands the contents of the job the appraisee is holding (job description) and the requirements for the job (job specification), (b) properly knows the officer being appraised (performance abilities) through work supervision of at least three months and (c) refers to notes from the checkpoints meetings.
3. The appraisal is for the total reporting period and should reflect the strengths and weaknesses and what hindered or enabled delivery during the period.
4. The reporting officer is normally the Officer's immediate supervisor.
5. The appraisal should be done in the presence of the appraisee and should be accompanied by a constructive dialogue focusing on ways of enhancing the officer's performance and the Department's productivity.

PART A: EMPLOYEE INFORMATION

Name of Employee (surname first):	Performance Plan Period: From: Day /Month / Year To: Day/Month/Year
Personal Payroll No.:	Ministry/Department:
DPSM Personal File No:	Division/Unit:
Position Title: Grade:	Name of Supervisor:
Date of appointment to position:	Supervisor's Position: Grade:
Duty Station:	Supervisor's Duty Station:
Date of posting/transfer to station:	Supervisor of the officer since: Day/Month /Year

PART B: PERFORMANCE OBJECTIVES

The purpose of this section is to record the employee's performance objectives for the year. The highlighted portion is completed at the planning stage and the rest is completed at the review stage.

No	Objectives	Output	Measure	WHEN DONE		Performance Result	Comments	
				START	FINISH		Supervisee	Supervisor

Note: Based on the average of the ratings scored above, provide an overall performance rating of the officer in the space provided below:
Final Performance Rating:

Note: The performance rating to be obtained by multiplying the average performance rating by 0.8 to get the final performance rating

PART C: DEVELOPMENT OBJECTIVES

The purpose of this section is to record the employee's development objectives for the year. The highlighted portion is completed at the planning stage and the rest is completed at the review stage.

Individual Development Objectives		Expected results	Follow up/Comments by Supervisor
Employee's Signature:	Date:		
Supervisor's Signature:	Date:		
Authorized Official:	Date:		

PART D: ASSESSMENT FOR PERSONAL ATTRIBUTES

Note: Please enter your rating under the appropriate rating level

ITEM FOR ASSESSMENT	RATING					COMMENTS
	95% - 100%	80% - 94%	65% - 79%	50% - 64%	49% and below	
1. Time Management (Quality of time keeping: keeping appointments, punctuality at work and meetings, and meeting deadlines)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
2. Knowledge of the Work (How well does the officer know the purpose, processes, & practice of the job)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
3. Output: Accuracy, Reliability & Speed (How accurate and reliable the performance is and how much work is done on schedule)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
4. Customer care (Demonstrable value based customer focused initiatives including Botho)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
5. Teamwork (Participation in, support for and promotion of team efforts and has ability to get along with co-workers)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	

QUARTERLY REVIEW RATING SUMMARY

Item for Assessment	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total
Performance Objectives					
Personal attributes					
Total					

Comments

Supervisee: _____

Supervisor: _____

Supervisee's Signature: _____ Date: _____

Supervisor's Signature: _____ Date: _____

QUARTERLY REVIEW RATING SUMMARY

Item for Assessment	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total
Performance Objectives					
Personal attributes					
Total					

Comments

Supervisee: _____

Supervisor: _____

Supervisee's Signature: _____ Date: _____

Supervisor's Signature: _____ Date: _____

PART E: SUMMARY AND RECOMMENDATION(S)

PERFORMANCE RATING

Level 1	Outstanding	95 - 100%	Results meet and exceeds all targets. Employee is an exceptional performer and consistently meets all performance targets. The employee occasionally makes significant contributions beyond agreed targets or responsibilities and requires very little supervision.
Level 2	Very Good:	80 - 95%	Results meet most targets. Employee consistently meets most targets, and is a competent performer and requires very little supervision.
Level 3	Satisfactory/Good: 65 – 79%		Results are above average targets. Employee exhibits reasonable level of competence and requires occasional support.
Level 4	Fair:	50 –64%	Results meet at least half (average) of the targets. Employee requires continuous general support to improve performance within a designated period.
Level 5	Unsatisfactory:	49% and below	Results are below average . The employee displays unacceptable performance and needs focused support to improve performance within a designated period. The employee will be denied increment.
	Unable to rate:		The employee cannot be rated due to extenuating circumstances beyond control (e.g. employee is on study/sick leave/interdiction) or has less than three months service.

FINAL RATING FOR THE YEAR:

Note: The final rating for the year is the sum of the total annual scores for the performance and the personal attributes given in page 6

Recommendation(s) by Supervisor:

Reward:	Development required:
Employee's Comments:	Immediate Supervisor's Comments:
Signature: _____ Date: _____	Signature: _____ Date: _____

Authorized Official's signature: _____ Date: _____

Comments: _____

Permanent Secretary's Comments: _____

Permanent Secretary's Signature : _____ Date: _____

APPRAISAL FORM MINISTRY OF EDUCATION

13 Copies

Senior Teacher

FORM DPSM 6 (Revised 03/06)

PERFORMANCE-BASED REWARD SYSTEM PERFORMANCE AND DEVELOPMENT PLAN AND REVIEW DOCUMENT

General Guidance

1. The basic purpose of this instrument is to objectively assess the officer's performance on the agreed objectives for a given year. The accurate assessment will provide vital information for management decision-making. More specifically the assessment will influence decisions regarding: a) the officer's performance rating; b) awarding of reward; c) specific training and development needs of the officer to improve performance and productivity; and d) the suitability of the officer for appointment to permanent service or potential advancement to higher grade.
2. For the assessment to be objective it is essential that the reporting officer (a) thoroughly understands the contents of the job the appraised is holding (job description) and the requirements for the job (job specification), (b) properly knows the officer being appraised (performance abilities) through work supervision of at least three months and (c) refers to notes from the checkpoints meetings.
3. The appraisal is for the total reporting period and should reflect the strengths and weaknesses and what hindered or enabled delivery during the period.
4. The reporting officer is normally the Officer's immediate supervisor.
5. The appraisal should be done in the presence of the appraisee and should be accompanied by a constructive dialogue focusing on ways of enhancing the officer's performance and the Department's productivity.

PART A: EMPLOYEE INFORMATION

Name of Employee (surname first):	Performance Plan Period:			
Personal Payroll No. :	From:	Day	Month	Year
TSA Personal File No.:	TO:	Day	Month	Year
Position Title: Grade:	Ministry/Department: Ministry of education and Skills Development			
Date of appointment to position:	Department/Teaching Subject:			
Name of School:	Name of Supervisor:			
Date of posting to school:	Supervisor's Position: Grade:			
	Supervisor of the officer since: Day Month Year			

PART B: PERFORMANCE OBJECTIVES'

The purpose of this section is to record the employee's performance objectives for the year. The highlighted portion is completed at the planning stage and the rest is completed at the review stage.

No	School Priorities	Ongoing Commitment	Milestones	Output	Performance Measure	Target	Performance loading	Weighting	Performance Results	Comments Supervisor	Supervisor
C1	Improve access and equity to education	Implement learner retention strategies [Child Friendly Schools and Circles of Support]	1. Monitor and supervise daily attendance of learners in the department 2. Monitoring learner class attendance 3. Conduct follow ups to curb truancy and drop out. 4. Keep learner profiles	Improved learner attendance	Attendance rate Retention rate	100% 99.5%	50% 50%	10%			
C2	Improve the quality and relevance of Education	1. Implement learner centered strategies 2. Develop Competency based assessment of learners.	1. Monitor and supervise teaching and learning in the department 2. Prepare and critically evaluate learner centered lesson plans 3. Use of teaching and learning materials in class	Improved learner performance	Pass rate % Value addition		60% 40%	50%			

C3	Establish Life Long Learning Culture	Equip learners with survival skills	4. Prepare remedial lessons for individual students 5. Track learner performance 6. Compile results analysis	Learner survival skills unveiled	% active learners participating % learners qualifying for national level % coaches /patrons participating	100%	100%	5%				
P2	Improve stakeholder involvement	Consult with individual student's parents	1. Develop schedule for meeting parents 2. Discuss learner welfare with the parent 3. Keep record of each meeting	Record of commitment to learner support made	% of parents consulted	100%	100%	5%				

P3	Improve operational efficiency	Adhere to unique teaching standards	1. Carryout lesson observations and provide feedback 2. Conduct departmental meetings 3. Check quality and adequacy of learners work 4. Check supervisee's records 5. Check administration exercises and quizzes weekly 6. Weekly administration of compositions, letters and essays 7. Syllabus coverage as per scheme of work 8. Give relevant comprehensive notes 9. Give feedback[Exercises and Quizzes 2days, compositions, letters and essays 10. Administer monthly learner evaluation survey	Conducive learning environment	Level of compliance to set standards Learner satisfaction rate	100% 90%	80% 20%	25%			

P4	Improve Resource management	Implement resource utilization strategies	1. Keep and maintain inventory of items issued 2. Conduct regular stock taking	Resource maintained	% resources maintained	98%	100 %	5%		
L3	Improve organizational work culture	Promote professional growth of work force to enhance productivity	1. Provide strategic technical guidance 2. Develop and Monitor School Development Plan 3. Conduct termly reviews 4. Conduct check point meetings. 5. Capacitate employees at all levels	Improved productivity	% employees signed % employees reviewed % employees performing at level 2 and above % employees capacitated	100% 100% 100% 100%	5% 70% 5% 20%	5%		

Supervisee's Signature: _____ Date: _____ Supervisor's Signature: _____ Date: _____

Note: Based on the average of the ratings scored above, provide an overall performance rating of the officer in the space provided below:

Final Performance Rating:

1st

2nd

3rd

Note: The performance rating to be obtained by multiplying the average performance rating by 0.8 to get the final performance rating

PART C: DEVELOPMENT OBJECTIVES

The purpose of this section is to record the employee's development objectives for the year. The highlighted portion is completed at the planning stage and the rest is completed at the review stage.

Individual Development Objectives		Expected results	Follow up/Comments by Supervisor
Employee's Signature:	Date:		
Supervisor's Signature:	Date:		
Authorized Official:	Date:		

PART D: ASSESSMENT FOR PERSONAL ATTRIBUTES

Note: Please enter your rating under the appropriate rating level

ITEM FOR ASSESSMENT	RATING					COMMENTS
	95% - 100%	80% - 94%	65% - 79%	50% - 64%	49% and below	
1. Time Management (Quality of time keeping: keeping appointments, punctuality at work and meetings, and meeting deadlines)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
2. Knowledge of the Work (How well does the officer know the purpose, processes, & practice of the job)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
3. Output: Accuracy, Reliability & Speed (How accurate and reliable the performance is and how much work is done on schedule)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
4. Customer care (Demonstrable value based customer focused initiatives including Botho)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
5. Teamwork (Participation in, support for and promotion of team efforts and has ability to get along with co-workers)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	

ITEM FOR ASSESSMENT	RATING					COMMENTS
	95% - 100%	80% - 94%	65% - 79%	50% - 64%	49% and below	
6. Initiative (Number of initiatives resulting in accomplishments)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
7. Supervisory Abilities (Guidance for achieving results) (Note: Only when applicable)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
8. Managerial Performance (Ability to plan, organize and direct activities/resources effectively) (Note: Only when applicable)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
9. Uphold the reputation of the profession (organization)	Outstanding	Very good	Good	Satisfactory	Unsatisfactory	
Average rating score: [(1+2+3+4+5+6+7+8+9)/8]						

Note: Based on the average of the ratings scored above, provide an overall effectiveness/rating of the officer in the space provided below:

Final Personal attributes' Rating for 3rd Term:

Note: The overall rating for personal attributes to be obtained by multiplying the average result by 0.2 to get the final rating.

Item for Assessment	1 st Term	2 nd Term	3 rd Term	Total
Performance Objectives (Rating)				
Personal attributes				
Total				

Supervisee: _____

Supervisor: _____

Supervisee's Signature: _____

Date: _____

Supervisor's Signature: _____

Date: _____

6

**PART E: SUMMARY AND RECOMMENDATION(S)
PERFORMANCE RATING**

Level 1	Outstanding	95 - 100%	Results meet and exceeds all targets. Employee is an exceptional performer and consistently meets all performance targets. The employee occasionally makes significant contributions beyond agreed targets or responsibilities and requires very little supervision.
Level 2	Very Good:	80 - 95%	Results meet most targets. Employee consistently meets most targets, and is a competent performer and requires very little supervision.
Level 3	Satisfactory/Good:	65 – 79%	Results are above average targets. Employee exhibits reasonable level of competence and requires occasional support.
Level 4	Fair:	50 –64%	Results meet at least half (average) of the targets. Employee requires continuous general support to improve performance within a designated period.
Level 5	Unsatisfactory:	49% and below	Results are below average . The employee displays unacceptable performance and needs focused support to improve performance within a designated period. The employee will be denied increment.
	Unable to rate:		The employee cannot be rated due to extenuating circumstances beyond control (e.g. employee is on study/sick leave/interdiction) or has less than three months service.

FINAL RATING FOR THE YEAR:

Note: The final rating for the year is the sum of the total annual scores for the performance and the personal attributes given in page 6

Recommendation(s) by Supervisor:

Reward:	Development required:
Employee's Comments:	Immediate Supervisor's Comments:
Signature:	Signature:
Date:	Date:

Authorized Official's signature: _____ Date: _____

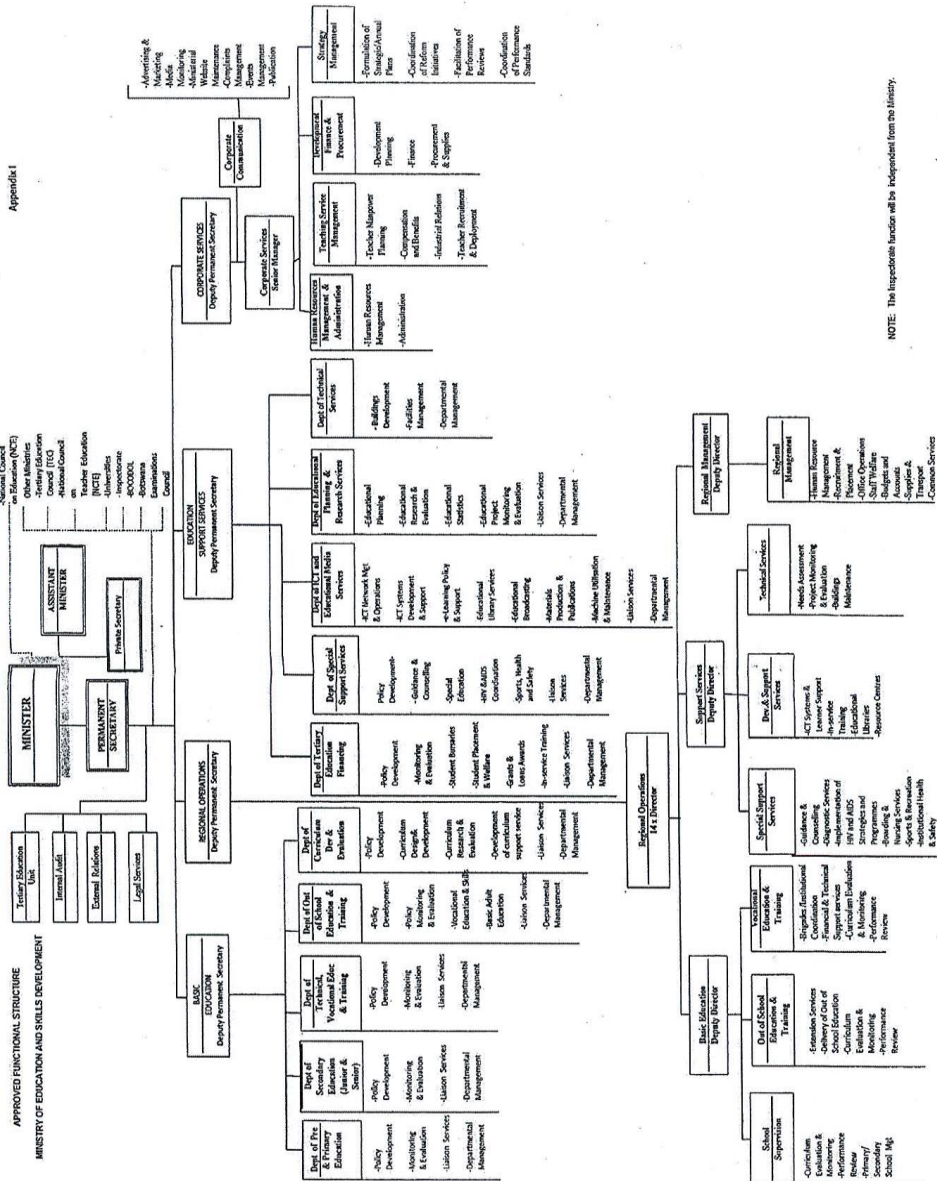
Comments: _____

Permanent Secretary's Comments: _____

Permanent Secretary's Signature : _____ Date: _____

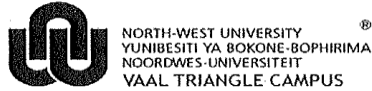
OBJECTIVES	CRITICAL ACTIVITIES	SUB ACTIVITIES	TIME FRAME	STATUS	COMMENTS

STRUCTURE OF MINISTRY OF EDUCATION



NOTE: The Inspection function will be independent from the Ministry.

APPLICATION LETTER FOR RESEARCH PERMIT



SCHOOL OF BASIC SCIENCES
Public Management and Administration

03 June 2016

The Director
Ministry of Education and Skills Development
Private Bag 005
Gaborone

Dear Sir/Madam

REQUEST FOR JOHN BESTER TO CARRY OUT A PhD STUDY IN YOUR MINISTRY

On behalf of the above institution, I am kindly requesting if you could grant permission to our PhD student, John Bester (Student No. 28273214) to carry out a study and collect data from your Ministry. He is a resident of Botswana. The data to be collected is on Innovation in the Public Sector.

The data collected will only be used for his PhD academic study. I hope that your Ministry can assist him in this regard.

Yours faithfully

Prof C. Hofisi
Supervisor

A handwritten signature in black ink, appearing to read 'Hofisi', written over a dotted line.

ETHICS CERTIFICATE



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

Private Bag X8001, Potchefstroom,
South Africa, 2520

Tel: (018) 299-4900
Faks: (018) 299-4910
Web: <http://www.nwu.ac.za>

Institutional Research Ethics Regulatory Committee

Tel: +27 18 299 4849

Email: Ethics@nwu.ac.za

ETHICS APPROVAL CERTIFICATE OF STUDY

Based on approval by the Basic and Social Sciences Research Ethics Committee (BaSSREC) on 02/05/2017 after being reviewed at the meeting held on 13/04/2017, the North-West University Institutional Research Ethics Regulatory Committee (NWU-IRERC) hereby approves your study as indicated below. This implies that the NWU-IRERC grants its permission that, provided the special conditions specified below are met and pending any other authorisation that may be necessary, the study may be initiated, using the ethics number below.

Project title: Innovative Performance Management in the Public Sector in Botswana: Towards A New Model.																																	
Project Leader/Supervisor:	Prof Costa Hofisi																																
Student:	Mr John Bester																																
Ethics number:	<table border="1"><tr><td>N</td><td>W</td><td>U</td><td>-</td><td>H</td><td>S</td><td>-</td><td>2</td><td>0</td><td>1</td><td>7</td><td>-</td><td>0</td><td>0</td><td>1</td><td>7</td></tr><tr><td colspan="4">Institution</td><td colspan="4"></td><td colspan="4">Year</td><td colspan="4">Project Number</td></tr></table>	N	W	U	-	H	S	-	2	0	1	7	-	0	0	1	7	Institution								Year				Project Number			
N	W	U	-	H	S	-	2	0	1	7	-	0	0	1	7																		
Institution								Year				Project Number																					
Application Type: PhD Public Administration and Management																																	
Commencement date: 2017-05-02	Expiry date: 2020-05-02																																
Risk:	Low																																

Special conditions of the approval (if applicable):

- Translation of the informed consent document to the languages applicable to the study participants should be submitted to the BaSSREC (if applicable).
- Any research at governmental or private institutions, permission must still be obtained from relevant authorities and provided to the BaSSREC. Ethics approval is required BEFORE approval can be obtained from these authorities.

General conditions: <i>While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following:</i> • The project leader (principle investigator) must report in the prescribed format to the NWU-IRERC via BaSSREC: - annually (or as otherwise requested) on the progress of the study, and upon completion of the project - without any delay in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project. - Annually a number of projects may be randomly selected for an external audit. • The approval applies strictly to the proposal as stipulated in the application form. Would any changes to the proposal be deemed necessary during the course of the study, the study leader must apply for approval of these changes at the BaSSREC. Would there be deviated from the study proposal without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited. • The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date, a new application must be made to the NWU-IRERC via BaSSREC and new approval received before or on the expiry date. • In the interest of ethical responsibility the NWU-IRERC and BaSSREC retains the right to: - request access to any information or data at any time during the course or after completion of the study; - to ask further questions, seek additional information, require further modification or monitor the conduct of your research or the informed consent process. - withdraw or postpone approval if: • any unethical principles or practices of the project are revealed or suspected, • it becomes apparent that any relevant information was withheld from the BaSSREC or that information has been false or misrepresented, • the required annual report and reporting of adverse events was not done timely and accurately, • new institutional rules, national legislation or international conventions deem it necessary. • BaSSREC can be contacted for further information or any report templates via Charmaine.Lekonyane@nwu.ac.za or 018 210 3483.

The IRERC would like to remain at your service as scientist and researcher, and wishes you well with your project. Please do not hesitate to contact the IRERC or BaSSREC for any further enquiries or requests for assistance.

Yours sincerely

Prof LA
Du Plessis

Digitally signed by
Prof LA Du Plessis
Date: 2017.05.03
07:47:39 +02'00'

Prof Linda du Plessis

Chair NWU Institutional Research Ethics Regulatory Committee (IRERC)