

**EFFECTIVENESS OF PERFORMANCE MANAGEMENT SYSTEM IN THE
MINISTRY OF TRADE AND INDUSTRY, BOTSWANA**



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**DISSERTATION SUBMITTED IN FULFILMENT OF THE REQUIREMENTS FOR
THE DEGREE MASTER OF COMMERCE IN MANAGEMENT AT THE MAFIKENG
CAMPUS OF THE NORTH WEST UNIVERSITY**

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MAY 2010

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DECLARATION

I declare that this dissertation entitled "The effectiveness of Performance Management System in the Ministry of Trade and Industry, Botswana" is my own work undertaken in the Mafikeng Campus of the North West University, Department of Management as a requirement for the degree of Masters of Commerce in Management. The material herein contained has never been published, submitted for any other degree nor written by any other person, except where due reference has been made.

SIGNATURE

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DEDICATION

This piece of work entitled, "The effectiveness of Performance Management System in the Ministry of Trade and Industry, Botswana" is dedicated to my children:

ONKGOLOTSE

ARCHIBALD

CAROL

ZITA

ACKNOWLEDGEMENTS

First and foremost, I would like to thank my creator, the God Almighty for giving me the strength, perseverance and good health to undertake this study and overcome the challenges encountered.

The study was a bumpy hill slope with numerous challenges and there are quite a number of people that I would like to express my gratitude for being instrumental in the success of my study.

Let me thank Professors J. B. van Lill and S. O. Migiro for the supervisory role they played.

It would not suffice not to mention Ms Violet Nakedi and Dr Livingstone Makondo for the assistance and counselling that they provided during the uphill battle.

Invaluable thanks to my parents Ephraim and Polly Mukono, my siblings Mazinza, Munyanya and Mpopi for the love, support and parental role they extended to my children during my absence.

Lastly my indebtedness and heartfelt appreciation go to the staff of the Ministry of Trade and Industry, the Commerce and Administration staff of the Mafikeng Campus as well as all the other friends and relatives not mentioned here who greatly contributed to the success of this study.

ABSTRACT

The aim of this study is to explore the challenges in the implementation of a performance management system in the Ministry of Trade and Industry (MTI), Botswana, achievements, as well as the limitations thereof.

The researcher employed a mixed method approach whereby both the qualitative and quantitative designs were used. The quantitative approach using a schedule of pre-determined questions utilized focus group discussions with the senior management teams while the quantitative data was collected by the use of a questionnaire with both closed and open-ended questions. The sampling frame was the employees of the MTI. Both stratified random sampling and proportional sampling were used to ensure homogeneity and fair population representation. The Statistical Package for Social Sciences (SPSS) was used for analyzing quantitative data while the qualitative data was grouped into themes which were then embedded in the quantitative data for analysis.

The findings of the study revealed that the MTI does implement the performance management system although there are some challenges such as flawed measures, brain drain and limited resources to mention a few. The study concludes with the propositions that the outcome is not clearly defined and that PMS is not customer focused and therefore needs to be tested.

TABLE OF CONTENTS

Declaration.....	ii
Dedication.....	iii
Acknowledgements.....	ix
Abstract.....	v

CHAPTER ONE:ORIENTATION

1.0 Introduction	1
1.1 Background to the Study.....	1
1.2 Statement of the Problem	10
1.3 Rationale for the study	11
1.4 Aim of the study	12
1.5 Specific objectives of the study	12
1.6 Research Hypothesis	12
1.7 Significance of the study	13
1.8 Scope and Limitations of the study	13
1.9 Research methods and procedures	13
1.10 Ethical issues	14
1.11 Data sources	14
1.12 Structure of the study	15

CHAPTER TWO: THEORETICAL FRAMEWORK

2.0 Introduction	16
2.1 Performance Management System defined	20
2.2 Why use a Performance Management System?	23

2.3 Critical success factors for Performance Management System	26
2.4 Characteristics of an Effective Performance Management System	28
2.5 Performance Management Cycle.....	31
2.6 Managing through measures.....	34
2.7 The Balanced Scorecard as a Performance Management Tool.....	39
2.8 Performance Management System in the Botswana perspective	44
2.9. Challenges in PMS Implementation	49
2.10 Chapter summary.....	51

CHAPTER THREE: METHOD

3.0 Introduction	52
3.1 The Participants	52
3.2 Measuring instruments	54
3.3 Procedure	56
3.4 Ethical considerations	57
3.5 Chapter Summary	57

CHAPTER FOUR: RESULTS

4.0 Introduction	59
4.1 Results from the data	59
4.1.1 The questionnaire	59
4.2 Dec Promographifile.....	60
4.2.1 Age Distribution	60
4.3 Objective 1: To evaluate the PMS implementation processes in the MTI .	61
Working hypothesis 1: The MTI is not following the planning processes	62
4.3.1 Planning Process	62
4.3.2 Performance Review.....	63
4.3.3 Communication	64
Working hypothesis 3: Communication is not adequately done in the MTI.	64
4.3.4 Resource Allocation	64
4.3.5 Leadership.....	65

Working hypothesis 2: There is inadequate leadership commitment towards PMS implementation.	65
4.3.6 Organizational Culture	65
4.3.7 PMS relevance in the MTI.....	66
4.3.8 PMS and its linkages	67
4.3.9 Employee empowerment	67
4.3.10 Support amongst departments.....	68
4.3.11 The Balanced Scorecard	68
4.4 Objective 2: To identify the PMS constraints/challenges.....	69
Question 12: What constraints do you experience regarding PMS implementation?.....	70
4.5 Objective 3: To establish the PMS achievements	71
Question 11: Since PMS implementation, are there any notable improvements?.....	71
Objective 4 : To explore MTI compliance with the PMS requirements	71
4.7 Chapter summary.....	72

CHAPTER FIVE

DISCUSSION OF FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

5.0 Introduction	73
5.1 Discussion of findings	73
5.2 Recommendations	77
5.2.1 Planning.....	77
5.2.2 Standardization	78
5.2.3 Training.....	78
5.2.4 Communication	79
5.2.5 Relationship management	79
5.2.6 Rewards/Recognition.....	79
5.2.7 Talent management	80
5.2.8 Benchmarking.....	80
5.2.9 Total Quality Management (TQM).....	80
5.2.10 Customer satisfaction survey	80
5.2.11 Self Assessment.....	81

5.3 Conclusion	81
5.3.1 Service Delivery	81
5.3.2 The use of ICT	82
5.3.3 Other initiatives	82
5.4 Suggestions for further research	82
References	83
Appendix I: Letter of introduction	
Appendix II: Sample letter to the Directors	
Appendix III: Interview questionnaire	
Appendix IV: Focus group questions	
Appendix V: Transcribed summarized data from focus group discussions	

TABLE 2.1	CULTURE OF PERRFORMING ORGANIZATIONS.....	30
TABLE 3.1	POPULATION AND SAMPLE SIZES.....	52
TABLE 3.2	CASE PROCESSING SUMMARY.....	55
TABLE 4.1	RELIABILITY STATISTICS.....	59
TABLE 4.2	POPULATION AND SAMPLE SIZES.....	60
TABLE 4.3	GENDER DISTRIBUTION.....	60
TABLE 4.4	AGE DISTRIBUTION.....	60
TABLE 4.5	WORK EXPERIENCE.....	61
TABLE 4.6	INVOLVEMENT IN THE PLANNING PROCESS.....	62
TABLE 4.7	PERFORMANCE MEASUREMENT.....	63
TABLE 4.8	COMMUNICATION.....	64
TABLE 4.9	RESOURCE ALLOCATION.....	64
TABLE 4.10	LEADERSHIP.....	65
TABLE 4.11	ORGANIZATIONAL CULTURE.....	65
TABLE 4.12	PMS RELEVANCE.....	66
TABLE 4.13	BALANCED ATTENTION TO PMS AND ITS LINKAGES.....	67
TABLE 4.14	EMPLOYEE EMPOWERMENT.....	67
TABLE 4.15	SUPPORT AMONGST DEPARTMENTS.....	68
TABLE 4.16	PMS CONSTRAINTS.....	70
TABLE 4.17	PMS IMPROVEMENTS.....	71
TABLE 4.18	COMPLIANCE WITH PMS REQUIREMENTS.....	71

LIST OF FIGURES

FIGURE 2.1 THE ALIGNMENT AND ATTUNEMENT MODEL.....	21
FIGURE 2.2 A PERFORMANACE MANAGEMENT CYCLE.....	31
FIGURE 2.3 THE BALANCED SCORECARD.....	42
FIGURE 2.4 PERFORMANCE-BASED REWARD SYSTEM LINKAGES WITH PMS.....	48
FIGURE 5.1 CRITICAL STEPS IN SELF-ASSESSMENT.....	81

CHAPTER ONE

ORIENTATION

1.0 Introduction

The present study evaluates the effectiveness of the Performance Management System (PMS) in the Ministry of Trade and Industry (MTI) in the Republic of Botswana (RB). The public service vision of Botswana is to “provide a world class service that is efficient, effective, caring and responsive to local and global challenges” (Directorate of Public Service Management, 1999:5). The MTI, as part of the civil service and an organ of the state should therefore rise to the challenge and play its part towards achieving that vision.

The MTI as one of the key ministries in the RB should have a system that is responsive to customer and stakeholders needs. Joina (2007) contends that any system’s activities should be monitored and evaluated for achieving accountability and that the PMS exists for that purpose. Again, for the performance management system to be effective, it needs to be relevant, consistently monitored and continually audited to ensure its continued relevance (Joina, 2007).

1.1 Background to the Study

The New Public Management (NPM) approach supports better performance in the public sector and the initiative includes budgetary and financial reforms, structural reforms, technical reforms and relationship management with the aim of achieving high performance and accountability in the public sector (Matthee, 2005; Richardson, n.d).

Radnor and Barnes (2007) indicate that though PMS is viewed as a NPM, its evolution can be traced back to the early twentieth century when Frederick Taylor, the father of scientific management, believed that it was management’s responsibility to plan how best the employees can perform. Taylor developed scientific methods through observation and performance measurement, and his ideas were further advanced by the Gilbreths in their work and motion studies (Radnor & Barnes, 2007).

Radnor and Barnes (2007) further point out that Taylor recognized individual performance and advocated linking pay to performance. The post World War II period to the mid-1980s brought changes that recognized employee participation in decision-making. In the 1970s, other measures like quality were introduced and demonstrated in the Japanese factories with their “kaizen”. The defects were

eliminated to embrace both effectiveness and efficiency, hence the emergence of Total Quality Management (TQM). Radnor and Barnes (2005) further brings to light that from the mid-1980s to date there has been an emergence of business process re-engineering (BPR) to assess operations against objectives, that is beyond cost and quality. It is a process that is inclusive of speed, flexibility and dependability (Radnor & Barnes, 2002).

For purposes of the present study (because there is no universally accepted definition of PMS), PMS refers to a change and quality management process that embraces the management of performance in all the echelons of an organization, and in the case of the public sector, the ministry or department (Joina, 2007). It is a management form that is results-oriented, focused on the service impact rather than on the input. PMS is a holistic and integrated system for managing, monitoring and measuring performance (Magosi, 1999). It is a process fostering the achievement of defined goals and objectives such that all employees in the organization should be accountable for the results in their operational area, individually or collectively/at team level (Selepeng, 2002).

Magosi (1999), further explains that PMS is a process whereby continuous and sustained productivity improvement, and communication between the manager and the subordinates should be enhanced for identifying, describing and relating the functions to the organizational objectives as espoused in the mission statement. He further points out that the employees are better positioned to understand their purpose, role and contribution towards achieving the organizational strategic objectives. In addition, Du Plessis (2005) highlights that in designing the system, performance standards against which performance is measured are developed, feedback on performance is provided and received, constructive performance appraisals are designed and planned, education and development opportunities for improving and sustaining employee performance are developed.

It is against this backdrop that organizations should have well designed, structured performance management systems so that they can operate efficiently and effectively. As Liao (2005) and Fisher (1997) contend, the human resource solutions should be well integrated with the organizational needs and priorities as derived from the vision and mission, in order to have an effective performance management system.

The urge to implement PMS in the public sector was heightened by the public demand for accountability from government officials (Wheelen & Hunger in Joina, 2007). In support of Wheelen and Hunger, Yeo (2007) also states that the Singaporean government saw fit to revamp its administrative system after public

demand for accountability to curb corruption and adopt a transparent system of performance and accountability by way of “unlearning old habits and acquiring new skills”, through the implementation of PMS. He further emphasized that the “paradigm shift” is an important ingredient for success where people should change their mindset and view issues differently, because as long as people are resistant to change and still stuck in the past, they cannot embrace any new development. Leadership is therefore faced with the challenge of effectively managing change because if not properly managed, it can destabilize the status quo in the organization.

Governments are therefore left with no choice but to change their mode of operation and bow to public demands (Siebert, 2001). New change management requires managers who are resilient, have good communication and problem solving skills, who are introverts, can recognize and manage talent in their organizations for the successful achievement of the organizational goals (Symanowitz, 2009).

The then British Prime Minister in 1993, John Major, (cited in Phatshwe & Pakes, 2007:35) addressed civil servants to emphasize quality of service said: “Public services should be a springboard to a better life. They should widen choices, not diminish them, empower people, and not leave them frustrated. I refuse to accept the assumption-implicit in so many public services that those who use them have no alternative; it is acceptable to be shoddy or substandard. I am determined to change all that-and that is the overriding motive behind the Citizen Charter.”

Mwara and Zairi (2009) share these sentiments with John Major by stating that the twenty-first century citizens and stakeholders demand to be heard time and again, and that their involvement in the planning process is crucial because they are the recipients of the service as well as tax payers. The public sector should therefore develop partnerships with the citizenry, especially so that the programs aimed at improving performance are tailor made to meet the needs of those same citizens.

Customer and stakeholder satisfaction is the reason why government had to implement PMS and in recognition of the customer as king, Tschol (in Phatshwe & Pakes, 2007:40) urged customers “Don’t ever feel guilty about complaining. You deserve good service. Every time you let bad service go by without objecting, you’re encouraging it. You are rewarding people for being lazy. You’re making it acceptable for them to not be interested in doing a good job.”

In the same vein, it is imperative to bear in mind that at the heart of an effective PMS is a well designed measurement system, carried out at any organizational

level, with the aim of forming a comprehensive opinion about the entity's operations and successes together with valuable information on important performance aspects (Rantanen, Kulmala, Lonnqvist & Kujansivu, 2007). These authors reiterate that skills in performance measurement are a force to be reckoned with and that the managers should have this competency, not as an added advantage, but as a requirement because it is easier to do and manage what you can measure (Hacker & Washington, 2009; Kaplan & Norton, 1992).

Against this backdrop, the Balanced Score Card (BSC) as developed by Kaplan and Norton in 1992 adopts a balanced approach when it comes to managing and measuring performance, for it considers a multidimensional performance measurement framework (Bourne *et al.* in Radnor, Zoë & Barnes, 2007). If properly implemented and designed, the BSC can lead to improved articulation and strategy communication, organization control and operational process alignment, choice of objectives informing choice of measures, that is, cause and effect relationships, moving from inputs processes to outputs and outcomes/impact, performance indicators and standards in delivering public services (Kaplan and Norton in Radnor & Barnes, 2007). Thus it is imperative to have performance indicators in any measurement system for showing the direction in which an organization wants to steer and determine the impact of the service on the recipients.

Prior to the wide usage of the BSC, there were and still are other performance measures such as the Performance Pyramid System, Tableau de bord, Multi-Criteria Performance or Productivity Measurement Technique and the performance/productivity matrix, which also emphasized the need for strategy, but were mostly used in the private sector (Rantanen *et al.*, 2007). The implementation of the measures was very straightforward because of the clarity of the company's ultimate goal, profitability.

The United States General Accounting Office, (2002) alludes to performance measurement by indicating that performance agreements should be negotiated to foster a clear line of sight between individual employees and achievement of targets (O'Donnell & Turner, 2005).

In bowing to public pressure, the Organization for Economic Co-operation and Development, OECD, (2004) points out that New Zealand and Australia were the first countries to adopt performance –based budgeting as a way of managing performance and ensuring accountability. The OECD further points out that, initially, emphasis was on outputs as opposed to the outcomes as it is currently, and that some governments felt that for them to succeed in their endeavours they should adopt a top-down and total systems approach, making change mandatory

across all government sectors, when others felt that the bottom-up approach was more practical since agencies would have the autonomy to develop their own methods with less interference from the top.

The introduction of performance-based management and budgeting was meant to improve decision-making in the public sector, improve efficiency, transparency, accountability and cut costs for the government (OECD, 2004). Although these reasons were advanced, the brief further highlights that creating a performance management system is not an end in itself for performance improvement, but rather combining it with delegation can work wonders for governments because managers need more freedom and empowerment to use resources for producing results, rather than being restricted by the already overburdened system (OECD, 2004).

Botswana being part of the global village also had to respond to the winds of change and Lebang (2005), in his briefing on the beginnings and establishment of Botswana National Productivity Centre (BNPC) stated that the first national productivity conference was convened in June 1985, taking cognizance of the fact that introducing public sector performance management was overdue. Three years later, (1988) the private sector made a recommendation to the Botswana Government to emulate the “seven tigers of the Far East” in an attempt to turn around the low productivity in the civil service (BNPC Productivity Quality Forum, 2005: 7).

It was not until 1991 that the Government of Botswana sent a delegation representative of the employers, government, workers and academics to the Far East (Hong Kong, Japan, Malaysia, Singapore and Thailand) to observe the National Productivity Organization’s (NPO) functions and structures with a view to recommending a workable model or near model to the NPO that could be used in the RB, after which the BNPC was established by an Act of Parliament in 1993 (BNPC Productivity Quality Forum, 2005).

One of the BNPC strategic goals was for the centre to “facilitate a culture of excellence in the public service...,” leading to the installation of the Performance Management System (PMS) in the central government in July 1999 and in the Ministry of Trade and Industry in 2002 (BNPC Productivity Quality Forum, 2005:15).

The year 2000 saw the Botswana government finally promulgating the reform at a budget of BWP26million for training, consultancy fees, monitoring and evaluation and other related costs (Balise in Joina 2007; National Development Plan 9, 2003).

The perceived general wastage and mismanagement of resources in the ministries and departments was the “burning platform” which compelled the Botswana public service to change their *modus operandi*. The strategic and operational plans were not at the required level, not timely and information was scanty on performance measurement together with the results on strategic obligations (Public Service Reforms Unit, PSRU, 1999). There was perceived insensitivity to public demands to the extent that civil servants felt they were doing the public a favour in attending to their needs, and corruption and malpractice led to lack of confidence by the stakeholder, necessitating leadership intervention (DPSM, 2002)

In addition, the winds of change sweeping across the globe made competition for survival and sustainability inevitable in the public service, the main service driver in any nation (Joina, 2007). There were also technological changes that challenged organizations to be dynamic in their operations and finally the ever changing external environment as characterized by rapid technology changes, economic uncertainties, and unstable political changes which called for emergent strategies (DPSM, 2002; PSRU, 1999).

In consideration of the above points, there was no way the Botswana public service could just watch the changes because it was a “swim or sink” situation. In concurring with the previously mentioned issues, Hope (2003) asserts that the Botswana public service operates in a global world, and whatever winds of change blow, the public service cannot be left out and therefore needs to re-engineer to become competitive and adapt a mindset with transformed leadership that can motivate people to perform, hence the implementation of PMS.

The then President of Botswana, Mogae (in Hope, 2003), also decried a decline in leadership skills resulting in inefficiency where performance is not managed at the required level as evidenced by complacency and sometimes outright negligence of duties and responsibilities which permeated the civil service as opposed to the previous dedication, zeal and enthusiasm that characterized the years immediately following independence.

In emphasizing the non-responsiveness of the civil service, Makhaya (2005:9) at a workshop on, “Visioning Together: Celebrating Ten years of Productivity in Botswana,” upheld that “a nation gripped with complacency and *laissez-faire*...PMS driven economy...resolutions/recommendations at some of these gigantic and expensive meetings are never implemented”.

In response to the general hue and cry on poor service delivery, it was imperative for government ministries and departments to adopt and implement the PMS philosophy for the public service to turn around, to be responsive to customer needs in an efficient and effective manner and be accountable and for public servants to be transparent as well as taking responsibility for their actions (Joina, 2007; OECD, 2004).

Thus the Government of Botswana entered into an agreement with the BNPC as a consultant to install PMS in all ministries over a five-year period. The BNPC started off by training Performance Improvement Co-ordinators (PICs) to act as internal consultants and cascade PMS to other levels in their respective ministries. The modules cascaded were Role Clarity and Team-building, Strategic Planning including Annual Performance Plans, Measurement and Communication (Public Service Reforms Unit, 1999).

The institutional arrangement is such that at departmental level, there are the Departmental Performance Improvement Committees (DPICs) and reforms desk officers, at ministerial level is the Ministerial Performance Improvement Committee (MPIC) and the PIC who oversees all the departments in the ministry and the PIC-Force at national level which is chaired by the Permanent Secretary to the President (Dzimbiri, 2008; PSRU, 1999)

The Public Sector Reforms Unit, which was initially a small unit at the Directorate of Public Service Management, was relocated to the Office of the President to closely monitor the public sector reforms, including PMS. In his inaugural speech on 1st April 2008, the President of the Republic of Botswana, His Excellency Seretse Khama Ian Khama emphasized that service delivery should be effective and efficient embracing the four Ds, being Democracy, Dignity, Development and Discipline (inauguration ceremony attended by the researcher).

It is worth noting that there had been a number of change initiatives to meet customer expectations and the broader government agenda before PMS implementation. The initiatives included Parallel Progression, Organization and Methods (O&M), Work Improvement Teams (WITs) and others. Despite all these initiatives, improvement in the public service delivery still remained a cause for concern until the American consultancy recommended PMS to the Botswana government (Business Process Re-engineering Unit, n.d; Mpape, 2002).

For PMS to be successfully implemented, due consideration should be given to some critical factors and these include organizational culture, values and beliefs which should be visible in the PMS structure (Du Plessis, 2005). If the organization is results-oriented, it is the duty of management to make it clear to

the employees from the onset so that they can understand what is expected of them and stay focused (Spangenberg, 1994).

Mangori (2004) upholds that leadership should be in the forefront in displaying commitment and accountability, that the same leadership should possess relevant knowledge, skills and abilities for giving proper guidance to their employees as well as communicate PMS to them. A well designed, appropriate and relevant measurement system coupled with employee involvement in the planning phase to instill ownership is an imperative for the reform to be successful (Du Plessis, 2005; Government Accounting Office, 2002; Hope, 2003; Joina, 2005).

For enhancing leadership commitment, Fry and Matherly (n.d) suggest embracing workplace and leadership spirituality as a change management tool for the acceptance of PMS. They further point out that, in that way, both leaders and subordinates will understand their purpose in the organization and embrace change.

Although PMS has good intentions, it is not without challenges. Failure to link performance with pay and non-existence of behavioural guidelines and measures are some of the challenges bedevilling PMS and calls for a holistic approach to managing performance (Spangenberg, 1994). Performance-linked pay can be used to reward good performance, attract and retain both talent and good performers (IDM Consortium, 2006).

Harris (2005) identified resistance to change and networking as one of the challenges faced by managers in the public sector PMS. She highlights that bureaucracy has detrimental effects because of diversion of resources from the key objectives to those that do not add value to the organizational goals along the way, compromising quality. This brings to light the need for the human resource function not to be relegated to a subordinate level in the organizational structure.

In the same vein, Hope (1995) indicates that inadequate service delivery is the result of shortage of skilled manpower in the Botswana civil service, attributed to unwillingness by individuals to accept employment in the public service, thereby accepting it as a last resort. He further says that the sizeable civil service also makes it difficult for managers to effectively manage performance. Corruption is another impediment to effective service delivery in the public sector to the extent that undeserving individuals are awarded contracts in return for kickbacks received by public officers (Tsonope, 2007).

In another study Hope (2005) highlights that lack of common understanding of policies and goals of the organization leads to demotivated employees who do not know what is expected of them. He further points out that the organizational environment such as misplacement of officers regardless of ability and past performance is another factor stifling performance. Hope goes on to state that merit-based promotions are not considered, but seniority is the determinant factor. Inadequate office space, lack of guidance and supervision, heavy workloads, resistance to change by senior managers and cleanliness are also regarded as deterrents to effective performance, as well as poor communication between senior managers and lower level employees.

The IDM Consortium (2005) also identified some challenges in PMS implementation. The study highlights that the reward management is not adequately implemented and pay is not linked to performance, although the rewards menu is available for guidance. Another issue raised is that of slow emergence of leadership for driving PMS despite huge expenditure on training, mainly attributed to skilled personnel leaving the public sector for better pay and/or working conditions.

In another dimension, the Public Service Reforms Unit (1999) highlights that limitations to effective PMS implementation include inadequate resources, traditional culture as alluded to by Ohemeng (2009), change management/paradigm shift where people are resistant to change, lack of understanding due to different levels of academic background, low public service morale due to lack of incentives, non-integration of PMS with other public sector reforms.

Moreover, Phatshwe and Pakes (2007) indicate that mindset problems amongst staff, resistance to change, leadership and management competencies, and staff movement in the form of transfers and turnover, brain drain from the civil service as well as client/customer apathy where people are not used to complaining are some of the problems bedeviling PMS effective implementation.

It is against this background that the researcher found it necessary to undertake the study, evaluate the effectiveness in the implementation of the reform and make recommendations for improvement in the MTI.

1.1.1 The Ministry of Trade and Industry

The MTI is a public sector organization mandated with the promotion and attraction of both domestic and foreign productive investment in the industrial and commercial sectors. It is responsible for economic growth and diversification in the country through attracting foreign direct investment (FDI) in industrial and

commercial sectors, international trade and relations as well as entrepreneurship development.

The Ministry's vision is "a vibrant, diversified and sustainable economy" and the mission is, "to be recognized as a proactive, dynamic and results driven organization facilitating economic prosperity for Botswana." To achieve the vision and mission, the Ministry is comprised of five departments and they are Ministry Management, Co-operative Development, Industrial Affairs, International Trade, Trade and Consumer Affairs and Registrar of Companies and Intellectual Property (MTI, 2009).

1.2 Statement of the Problem

The study is undertaken to ascertain the effectiveness of PMS implementation, the obstacles encountered as well as PMS sustainability in the MTI. Botswana as part of the global world has decided to implement PMS as a new public management (NPM) reform as a response to some common pressure like public complaints and globalization imperatives to mention a few (Polidano, 1999).

Hacker and Washington (2009) state that Botswana has always embraced transformation since her independence in 1966. They further point out that through the introduction and implementation of reforms, Botswana was able to increase productivity both in the public and private sector. Therefore PMS as a NPM aims at encouraging strategic visioning and change methodology towards customer focus.

The present study therefore assumes that PMS as a holistic management approach plays a pivotal role in effective and efficient service delivery, especially in transforming leadership and changing the mindset of the Botswana public sector to embrace the NPM initiatives towards global competitiveness as well as customer focus (Joina, 2007).

Richardson (n.d.) observes that performance management is well anchored at the conceptual level but at the implementation level, there has unashamedly been learning- by -doing approach. On the other hand Schik (in Richardson, n.d) asserts that it may be time now to 'debug' elements which may have not worked as anticipated in public sector transformation, as with any leading technology.

It is imperative to effectively implement and keep performance management going because it is here to stay. Miller, (in Thapisa 2001:10) points out "it is not enough to begin; continuance is necessary. Mere enrolment will not make one a scholar, the pupil must continue in the school through the long course, until he masters every branch.....reason for failure in most cases is lack of

perseverance.” It is therefore important to continuously improve on the PMS implementation so that the continued benefits can be reaped as well as ensuring the sustainability of the reform.

On the other hand, Pollit (in Laking and Norman 2007) observes that buying a public sector reform is not like buying a new car because you cannot be certain whether it will get you where you want or if you will even be able to drive it. The MTI should therefore establish what constitutes effective PMS implementation in order to achieve the intended purpose and reach the destination.

1.3 Rationale for the study

There are perceptions that the introduction of private sector initiatives in the public sector organizations cannot bear fruit because leadership in the public sector is more concerned with installation of processes which are more administrative, than with building their organizations towards customer satisfaction (Tsonope, 2007). It is therefore important to have measures that will indicate the direction in which the organization is going.

On the other hand, there are views that the public sector needs to be “reinvented” for enhancing efficiency and total management control by ensuring responsiveness to customer needs and instilling accountability in the public servants hence the implementation of PMS in the MTI (Richardson, n.d; Tsonope, 2007).

Again, the public servants as the implementers of government policies should possess the relevant competencies to carry out their mandate. In the case of the MTI, globally competitive policies and programmes facilitating Foreign Direct Investment (FDI) should be developed and implemented coupled with diversification of the economy and employment creation. All this should be achieved through effective and efficient use of resources as well as sound management processes (Mpape, 2002; Tsonope, 2007).

Therefore since research is a way of articulating and supporting claims, there is a need to undertake this study to establish how effective PMS has been in its implementation as a NPM in the MTI in addressing the problems permeating service delivery, especially that the reform is considered to be a private sector initiative.

1.4 Aim of the study

The general aim of the study is to explore the challenges in the implementation of the PMS in the Ministry of Trade and Industry, achievements as well as limitations and make recommendations to management on how well PMS can be implemented and sustained in the MTI. This will be achieved through the specific objectives stated below with a view to making sustainable recommendations.

1.5 Specific objectives of the study

The following are the specific objectives of the study:

1.5.1 To evaluate the PMS implementation processes in the MTI.

1.5.2 To identify the PMS constraints/challenges in the MTI.

1.5.3 To establish PMS achievements/ benefits.

1.5.4 To explore MTI compliance with the PMS processes.

1.5.5 To make recommendations for the successful PMS implementation in the MTI.

1.6 Research Hypothesis

A hypothesis refers to a logical assumption, supposition or an educated guess that the researcher seeks to either validate or invalidate and can give direction to the possible information sources (Ormrod & Leedy, 2005; Mpape, 2002). The present study is based on the following hypotheses:

1.6.1 Main hypothesis

The Ministry of Trade and Industry in the Republic of Botswana is not effectively implementing PMS.

1.6.2 Working hypotheses

1.6.2.1 The MTI is not following the PMS planning processes.

1.6.2.2 There is inadequate leadership commitment towards PMS implementation.

1.6.2.3 The MTI does not adequately communicate PMS to the employees.

1.6.2.4 There is no compliance with PMS processes in the MTI.

1.7 Significance of the study

The study is worth undertaking to establish whether there is value for money due to the expenditure undertaken by government to implement PMS, as well as reveal both the positive and negative indicators since PMS installation. The areas for improvement in delivering the Ministry mandate will be accentuated to the executive management, as well as establishing the best practice to be adopted by the MTI to deliver the best service to customers and stakeholders. Moreover, as an employee of the MTI, the researcher will be better placed to effectively and efficiently execute her duties as well as expanding her academic horizon.

1.8 Scope and Limitations of the study

1.8.1 Scope

The study was undertaken in the Ministry of Trade and Industry in Gaborone, the capital of Botswana, excluding the outstations. Given that, the findings cannot be generalized to the rest of the government ministries.

1.8.2 Limitations

Financial and time constraints were other factors confining the researcher to only one ministry.

1.9 Research methods and procedures

Research methodology can be likened to the contents of a tool box relevant to clarifying a specific problem. They serve as the foundation of a communication strategy seeking to answer the questions, "How do you know? How reliable is the conclusion? How do I know that I know?" The methodology also saves both the researcher and the client the agony of deception because whatever is done is put in black and white (Joina, 2007).

1.9.1 Research Design

The study was cross-sectional in that five departments were covered in a short period, gathering a sizeable amount of data as opposed to longitudinal whereby a smaller number would be covered over a longer period. A mixed method approach was used whereby both qualitative and quantitative designs were used. For qualitative approach, focus group discussions were held with the senior management teams (SMTs). The quantitative data was collected with the use of a five-point Likert scale questionnaire which was randomly distributed to the respondents.

1.9.2 Population and sample size

According to Neuman (2003:216), population refers to the universe of individuals or items with the same common observable characteristics that are of interest to the researcher. The population on which the sample was drawn consists of all the employees in the five departments of the MTI and the sampling frame according to the establishment register are the employees in the five departments namely, Co-operative Development (253), Industrial Affairs (103), International Policy and Trade (70), Ministry of Trade and Industry (216) as well as Trade and Consumer Affairs (198).

The sample for the questionnaire was selected based on the relative proportion of the population. The sample size of 84 was arrived after computing 10% for each department and summing up the figures.

For the focus group interviews, judgement sampling was used because the researcher is familiar with the set up in the MTI by virtue of being an employee. The SMTs composition was 4-8 members depending on the number of managers in the department.

1.9.3 Data presentation and analysis

Data was to be presented through the use of both bar and pie charts. Tables, frequency counts and percentages will also be used. The analysis will be done with the assistance of the Statistics Department whereby the Statistical Program for Social Sciences (SPSS) will be used.

1.10 Ethical issues

Permission to undertake the study was sought from the relevant department authorities and a letter of introduction from the Mafikeng Campus of the North-West University was availed as proof of the researcher being a student at the university. There was informed consent in that the respondents were informed on what the study is about so that they could choose whether to participate or not. Information from the respondents was treated with strictest confidentiality, and anonymity maintained to ensure non- traceability of information to any individual, so that this can increase the validity of the collected data.

1.11 Data sources

Data was sourced from extant empirical work and secondary sources. These included journals, books, and official documents as well as raw data as collected through the questionnaires and interviews. The internet was also browsed to collect data.

1.12 Structure of the study

The study is organized as follows:

Chapter 1 Orientation

The introduction, background, problem statement, aim of the study, objectives, significance, scope and limitations of the study, research methodology, ethical issues, sources of data and the structure of the study are outlined in this chapter.

Chapter 2 Theoretical framework

The chapter content is the Theoretical foundation linking practice with the theory of performance management system in the Ministry of Trade and Industry, Botswana.

Chapter 3 Method

The research design and method is presented in this chapter together with justification on the choice of the method used, the procedure as well as the ethical considerations.

Chapter 4 Results

The chapter outlines the data presentation or data analysis, the sample size and the measuring instruments.

Chapter 5 Findings, Conclusions and Recommendations

The findings of the study are discussed in this chapter, conclusions drawn and recommendations suggested.

CHAPTER TWO

THEORETICAL FRAMEWORK

2.0 Introduction

This chapter presents the essential literature on Performance Management System (PMS). It discusses the evolution of PMS, what performance management is, success factors and attributes, performance measures, relevance in the Botswana public sector and the challenges thereof.

Performance measurement and management can be traced back to the industrial revolution in the early twentieth century. Frederick Taylor (1911), often referred to as the father of scientific management, believed that it is management's responsibility to craft best work methods. He developed a scientific method that included observation and measurement, based on the existing work methods. There was further development of improved methods and the results were monitored through continuous performance measurement. The Gilbreths also advanced Taylor's ideas through their work and motion studies (Radnor & Barnes, 2007).

According to Radnor and Barnes (2007), emphasis on the scientific management approach was to increase efficiency, which is not a holistic approach because it does not consider effectiveness and employee concerns. They further bring to light that Taylor advocated financial incentives for individual employees increasing output with the application of scientific management, calling for individual performance measurement. Taylorism was not without criticism. As such, Maslow (1954), McGregor (1960) and Herzberg (1966) argued for employees' motivation and consideration of the social aspects in the workplace which were meant to improve morale.

The second phase of performance measurement and management, as further stated by Radnor and Barnes (2007) was from Post-second World War to the mid-1980s which was characterized by the introduction of computers in addition to scientific management. In this era, focus was on the improvement of the quality of work life in order to attract and retain high calibre staff through involvement in the decision-making process regarding their work performance. Employee involvement led to the birth of quality circles and employee autonomy. There were still critics who challenged specialization and the measurement approaches used. The critics felt that more could still be done to improve production because of the competition from Japanese companies which

produced defect free goods through their “kaizen” or continuous improvement. The criticism led to a shift from concentrating on efficiency alone, bringing in effectiveness to embrace quality, the secret behind Japanese success as argued by Hayes and Abernathy (in Radnor & Barnes, 2007). Eventually the concept of total quality management was introduced to improve effectiveness and responsiveness, resulting in the introduction of customer-based measures for improving performance and service delivery.

The introduction of the new performance measures which considered the customer indicated that the traditional performance measures used had shortfalls as revealed by Neely *et al.* (in Radnor and Barnes, 2007). The shortfalls include a focus on the short term, lack of strategic focus, encouraging local optimization, managers’ myopia regarding continuous improvement as well as lack of information on customer demands and competitor analysis. The mid-1980s to date saw the managers seeking the right things to measure, leading to the introduction of business process re-engineering (BPR). This approach considers the processes improvement by assessing operations against the objectives, “beyond cost and quality, including speed, flexibility and dependability” as observed by Slack *et al.* (in Radnor & Barnes, 2007).

Fay (in Spangenberg, 1994) further indicates that the introduction of performance management was meant to address the gaps in the old appraisal system which lacked both strategic and customer focus. Fay further indicates that performance management includes a set of techniques used by managers to plan, direct and improve the performance of subordinates in line with achieving the overall organizational objectives (Fay, in Spangenberg, 1994).

On the same note, Ohemeng (2009) highlights that in Ghana employees are not objectively appraised and are undeservedly given high ratings even though problems still persist in areas where people are highly rated. He blames this on the traditional culture that seriously impedes the development and implementation of performance management. An observation made by Debrah (in Ohemeng, 2009) is that management in organizations has been permeated by society, traditional practices and culture. Debrah (in Ohemeng, 2009) further says that the culture in Ghana is such that a younger manager cannot supervise or appraise an older employee, nor does it allow subordinates to come up with any innovations or ideas for improvement. The culture therefore renders performance appraisal unreliable because of its subjective nature, thus compromising organizational performance. This indicates that in some instances, culture can be an ingredient for inefficiency, unless emphasis is the results.

Mpape (2002) concurs with Fay (in Spangenberg, 1994) that for performance management to be effective and successful, individual accountabilities should be clarified and that ambiguous and loosely defined objectives are no longer relevant. Mpape (2002), further points out that the performance appraisal method used in the Botswana public sector prior to the implementation of PMS lacked objectively defined performance measures. She further points out that there was lack of consultation and agreement in the preparation of Performance and Development Plans (PDPs) between the supervisor and the supervisee, lack of accountability to customers on service delivery. There was also indiscipline among the employees and non-commitment towards work and supervisors lacked skills on performance appraisal or measurement thereby neglecting and distrusting the monitoring system. The measurement attributes were also ambiguous eventually resulting in the introduction and implementation of PMS in the Botswana public sector to address the gaps in the old appraisal system (Mpape, 2002).

A performance management system should be viewed as a management approach that takes into account all the sub-systems such as the planning, measurement and reward processes in the organization to make a sum total of them all. According to Dzimbiri (2008), traditional employee appraisals were done in confidentiality without employee involvement and there was no feedback to the employee, which is in contrast to the PMS requirements. He further points out that there were no targets on which to base the appraisals and that the appraisals were historic with no opportunity for improvement, much emphasis was placed on personality traits such as loyalty, dependability and honesty, to mention a few. There was absolutely no linkage of individual objectives to departmental, divisional or organizational strategic intent.

It is against this background that the theory of performance and management control is used to inform the present study. This theory argues that the management systems used, inclusive of the performance management model (PMM) intend to ensure that employees have knowledge about what is expected of them, will strive to meet their objectives, have capabilities and competencies of doing what is expected of them and finally accomplish what is expected of them (Malina & Selto, 2003).

Malina and Selto (2003) further point out that organizations seek to improve employee performance relative to their strategic goals and highlight the following as influential to choosing relevant measures:

- Complementary and diverse nature of measures gives an organization leeway to make a choice as long as the operational measures reflect the

current driver of future financial performance. The pool of measures includes operational, strategic, financial and non-financial measures. Warren (2002) highlights that a successful choice of measures reflects interdependence, complementarity and causal relationships between the resources and the outcomes, which is what the Balanced Scorecard (BSC) advocates.

- Objectivity and accuracy of measures which measure what has been planned. Some organizations approach third parties to verify their measures for objectivity and accuracy. Benchmarking can also be used for that purpose.
- Timely corrective action can be taken because the digressions are identified during the performance review process
- Measures allow employees to know what is expected of them and how to align their objectives and actions towards the organizational strategy. The strategic use of resources and deployment of processes is done through communication because gaps are identified and eventually filled (Kaplan & Norton, 1996).
- Creation of incentives for improvement such that organizations realize that a delay in taking some actions can cost them dearly. For instance, delaying in employee development leads to shabby service delivery due to lack of relevant skills and competencies, the eventuality being dissatisfied customers.
- Improvement in decision-making because measures with tangible connections to processes encourage continuous learning, and improves decision-making, as opposed to reliance on financial measures alone.
- Causal relationships are specified, quantified and measured for predicting the future effects of current actions. Measures also help managers to focus on building the organization as opposed to concentrating on the administrative issues. Management control also assists in understanding the numerous performance measures because it is knowledge –based, connects and organizes dispersed organizational knowledge.

The management control theory shares most if not all the characteristics with the principles of management as defined by Smith and Du Plessis (in Wessie 2004) that the planning process determines the organizational vision, mission, goals and the strategies for attaining those goals. They further point out that management should develop the organizational structure (organizing) and that resources should be deployed towards achieving the organizational goals. The theory also emphasizes that the organizational leadership should possess the relevant skills and competencies to motivate the employees and to align their

actions with the organizational strategy. Finally, management should exercise control by checking performance and actions to ensure conformity with plans.

Similarly, Washington and Hacker (2001) highlight that the organization should determine its vision that will give direction and that there has to be great leadership to take the employees to the vision through motivation and a change plan that will show how to attain the vision. The change plan should be in the form of strategies, and a political plan for implementing the change plan should be stipulated indicating how to enroll others towards the achievement of the organization vision. The implementation plan should include checking and monitoring the actions and performance of the employees to ensure alignment towards the organizational objectives.

In the nutshell, the management control theory encourages a shared vision and team work because employees are taken aboard and performance is monitored and evaluated throughout the process to enhance performance and cultivate employee motivation in the organization.

2.1 Performance Management System defined

There is no universally accepted definition of performance management system (PMS) and it is defined differently by many writers in an attempt to adapt its practices for understanding the type of philosophy they would be dealing with. Joina (2007) defines a PMS as the process of establishing a shared vision or an understanding of what is to be achieved how to achieve it and create an employee management relationship for successful achievement of the planned outcomes. It is the alignment of individual and organizational performance that is linked with pay-for-performance. It is a strategic and integrated approach for the delivery of sustained organizational excellence through employee development for continuous performance improvement (Magosi, 1999).

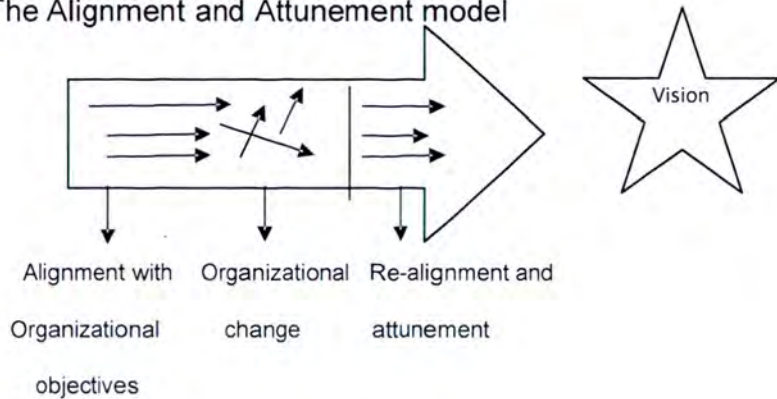
PMS as a process imbues the day to day activities and individual behaviours for the achievement of organizational goals. It is a strategic process in that the vision and mission of an organization, which are long-term, should be achieved. It is such that old habits should be unlearned, through change to acquire new skills and knowledge as well as changing individual mindsets (Yeo, 2005).

Furthermore, employees should have a shared, common and clear understanding of the goals to be achieved and what it takes to achieve those goals. There has to be organizational flexibility and collective effort to learn faster than the competitors (Joina, 2007). Employees should understand what is required of them in any given planning period.

As an integrated management approach, PMS aligns human resource development and rewards with business, team and individual objectives because the main focus is on people who do the job. The integrated approach challenges supervisors to play a pivotal role in giving clear direction to subordinates, and they can only do that if they are committed and understand their role in taking the public sector towards greater heights (McKenna, 2005).

In emphasizing that PMS is a shared vision which needs an integrated management approach and that it is a process, Hacker, Wilson and Johnson (1999) use the Alignment and Attunement model below to show that individuals enter organizations with different mindsets, challenging leadership to align these mindsets to the organizational vision, while recognizing these individuals through the organizational reward system. The attunement then allows people to buy into each other's direction and fine tune their efforts and energy towards achieving their purpose in the organization, thereby achieving the organizational vision.

Figure 2.1 The Alignment and Attunement model



Work Miracles (1999:3)

Traditionally when people join organizations, they have different mindsets and need good leadership, "a Moses", to align them with the organizational culture towards the vision, which is the "promised land." The alignment and attunement should be done in such a way that individuals are aided towards self-discovery and increasing their awareness in understanding their purpose in the organization (Hacker et al. 1999:83). In leading the employees to the vision and achievement of the organizational goals, they should be recognized through rewards because more often than not, those who are led are perceived as tools for achieving results (Mangori, 2003; Willard, 2001).

A performance management system can be viewed as a result-oriented management approach which is more service-focused as opposed to input-focused, which is viewed to managing more with less for efficient and effective

service delivery. It is a measurement and reporting system providing information that can be used to assess organizational performance by the stakeholders (McKenna, 2005). It is a continuous communication process where the managers and the employees identify the key performance areas and link them to the mission and vision of the organization, after which managers should develop performance standards, provide constructive feedback on performance, communicate on the gaps identified by the appraisal, and plan on the motivation and development opportunities for the sustenance of the employee performance (Tsonope, 2007). Performance management should be regarded as a cycle which takes into consideration all the organizational aspects at all levels throughout the year (Du Plessis, 2005).

Performance management is also defined as a technique by managers to plan, direct and improve the performance of subordinates in line with the organizational objectives, and the technique comprises performance planning which involves goal-setting and developing Performance and Development Plans (PDPs), managing performance through coaching and mentoring, reviewing or measuring performance as per the agreed measurement system and finally rewarding performance (Spangenberg, 1994). Therefore managers should possess the relevant management competences and be committed in order for PMS to be successful.

Selepeng (2002) goes on to define PMS as a change and quality management process facilitating a comprehensive management of performance at all organizational levels. The major objectives of the reform is the improvement of individual and organizational performance systematically and sustainably, the provision of a planning and change management framework that is linked with the budgeting and funding process, enhancing Government capacity, and inculcating a culture of performance and accountability for managing at higher productivity levels towards effective and efficient service delivery. The process involves defining the vision, mission and values that will guide the employees, set targets to be achieved as agreed by the supervisor and the supervised as well as reviewing progress for taking relevant action, be it reward or punishment.

According to the IDM Consortium (2006), PMS as a process aims at establishing a shared understanding about what individual and organizational achievements should be and the strategies that should be employed leading towards those achievements. It is an approach leading to the delivery of organizational objectives and managing people to increase the probability of success achievement. Leadership is therefore challenged to make the employees buy into the reform towards achieving the vision.

Briscoe and Claus (in Ohemeng; 2009) refer to performance management as a system through which organizations set their work goals, determine the performance standard, assign and evaluate work, provide constant performance feedback, determine training and development needs as well as distributing rewards. From this definition, the leadership should close all the loopholes that may exist to ensure PMS completeness as a system.

As a strategic and integrated approach to sustained success delivery, PMS is concerned with improving the performance of employees and developing their capabilities at individual and team level, as well as managing the organization holistically, taking into account stakeholder satisfaction, communication and involvement (Armstrong & Baron, 2002; Armstrong in Dzimbiri, 2008). The basis of PMS is management by contract where performance agreements are entered into by the supervisor and the individual employee, as opposed to management by command where employees are not consulted during planning and deciding on the objectives (Dzimbiri, 2008).

From the above definitions, it is clear that PMS is an integrative approach, a total systems approach, a sum total of factors put together or a synergy of individual approaches to achieve more. It is worth noting that this holistic approach should be balanced at all levels for a balanced achievement. PMS indicates that the leadership should have the competencies to lead and motivate their employees to buy in so that the organizational vision and mission could be achieved, taking cognizance of the customer and stakeholder needs. It is also clear that the employees play a pivotal role in PMS because they are the performers/implementers of organizational activities.

2.2 Why use a Performance Management System?

It goes without saying that the global changes have led to organizations making introspection to search out survival means in the dynamic environment. The changes affected leadership, market places and individuals alike, calling for a paradigm shift as observed by Einstein (in Joina, 2007: 25) that "problems created by our current level of thinking cannot be solved by that same thinking." Adopting performance management was the only survival measure for organizations to adopt in order to achieve their visions and avoid sinking.

The mounting public pressures for efficient, effective and transparent service delivery coupled with accountability to tax payers have left organizations with no option but to adopt public sector reforms in order to improve performance (Hatton & Schroeder, 2007). The public demand was a call for governments to provide

value for money and adopt a culture of continuous improvement and a quest for excellence (Joina, 2007).

A performance management is also meant to instill a culture of taking responsibility by individuals, teams and units to continually improve their business processes and competencies towards the achievement of organizational desires and expectations. It creates a shared vision for all employees so that they can stay focused and have a clear direction towards achievement of organizational goals. Departments and individuals alike are able to set performance targets that are related to the corporate objectives (Armstrong & Baron in Joina, 2007).

The emergence of PMS as a New Public Management (NPM) was due to demands for good governance and is geared at enhancing productivity, efficiency, accountability as well as improved service delivery. PMS also puts emphasis on results as opposed to processes and employee empowerment for producing as observed by Kaul (in Dzimbiri, 2008).

General Accounting Office (2003:3) indicates that public sector organizations adopt PMS to address the following issues:

- Align individual performance expectations with organizational goals to assist them to see and understand the relationship between their objectives and organizational goals.
- Connect performance expectations to the cross-cutting goals, thus establishing a shared vision through team work, collaboration and interaction amongst employees.
- Identify performance gaps and take corrective action for alignment with organizational priorities.
- Provide feedback, reward good performance and deal with mediocre performers. This is achieved by coaching and mentoring provided the manager possesses such skills.
- Maintain continuity and stability during transitions so that accountability for change management can be reinforced.
- Make employees and stakeholders gain ownership and understanding of the system through their involvement, calling for a well- thought- out communication strategy.
- Instill a sense of accountability in individual employees so that they can improve on their actions.

Deane in (Richardson, n.d.) observes that the public sector organizations normally transform due to inefficiency and ineffectiveness to overcome

confusion of objectives, lack of accountability, inadequate adaptability to change, over-centralized control mechanisms, and multi-layered management structures. Furthermore, Deane (in Richardson, n.d.) states that the excessive paperwork burdens, dispersion of responsibility, a widespread internal protective mechanism and ultimately an inability to exert appropriate control over government expenditure, which characterizes large parts of the public sector also render the public sector ineffective.

In the same vein, Scott (1996) reiterates that unclear departmental objectives, confused responsibilities of politicians and civil servants result in unclear lines of accountability and responsibility. Scott further states that freedom to manage is normally frustrated by over-centralization, destroying the incentives and motivation to perform, not punishing poor performance and inappropriate decisions on internal departmental management made by ministers result in public sector ineffectiveness.

The observation made by the two transformation experts indicate that too much bureaucracy can seriously hinder to performance and leads to inefficiencies and ineffectiveness in the public sector, resulting in the suffering of the general public or the recipients of the service. They also observe that more often than not, public servants' recruitment is not based on merit but on political allegiance, and that strategic human resource management is not adequately instituted in the public sector due to permanent tenure regimes (Richardson, n.d.).

Richardson (n.d) further highlights that in view of the above observations, the two leaders recommend that there should be clarity of objectives with measurable indicators. This clarity would lead to non-conflicting roles by both politicians and civil servants. The freedom to manage will give the manager the latitude to achieve the specified objectives as well as resources allocation for effective achievement of those objectives, ensuring accountability for the managers' decisions. The managers should also be sanctioned for non-achievement and incentives should be provided for modification of behaviour towards achievement of objectives.

The quality of the service delivered or meeting planned and specified objectives is ensured by assessing the flow of information and establishing an effective performance assessment system. The system assesses how well managers met their objectives and the managers are penalized for any evidence of mismanagement or inefficiency. The essence of the system is to clarify managerial responsibility as well as to increase accountability, especially for departmental heads (Richardson, n.d.).

It is in this regard that customer needs should be a guiding factor in service delivery because whatever initiative governments take is meant for public consumption and the public happens to be tax-payers who should demand value for money (Balise in Joina, 2007).

2.3 Critical success factors for Performance Management System

A basis for the establishment of an effective performance management system as pointed out by Du Plessis (2007) is dependent upon the following critical success factors:

- Visibility of the corporate culture, beliefs and values: they should be spelt out in the performance management system. An icon can be created to symbolize these values, beliefs and culture. It can be a collage, an object or phrase. Willard (2001) gives an example of one government agency which summarized their strategic plan into a picture and printed it on mouse pads for each employee.
- Sketch out a development and planning phase: managers should be in the forefront of the development of the system to show their support for PMS. Employee and stakeholder involvement is crucial for them to understand, commit and own the system to avoid such statements as, "Their/the system" instead of, "Our system." It is important to realize that people will always support what they built (Armstrong & Baron in Joina, 2007).
- Decide on the relevant performance measures: from the beginning, management should agree on the measures that are critical for leading the organization to its desired future state because these measures are used for evaluating the performance of the organization towards achieving the objectives.
- Align employees' job descriptions with the performance management system. Sometimes referred to as Job Effectiveness Descriptions (JEDs) these will indicate the employees' competencies in relation to their performance plans. Management should clarify the link between employee jobs and the organizational objectives. In support of this factor, Moroka (2009) asserts that when employees understand their mandate in the organization they are motivated to deliver and serve the customers diligently.
- Be fair and objective in measuring performance: managers should bear in mind that employees are not equally gifted or talented and therefore their performance levels will differ at every stage. Employee assessment should therefore be based on the competencies the employees have and

on the set performance standards, which should be communicated to them prior to performance commencement.

- Management training in performance management system because they are the people who drive the system and it is important that they be given the necessary skills to steer the organization in the right direction. In the same vein, Berge, de Verneil, Berge, Davis and Smith (2002) point out that there should be a competitive strategy in the global world, challenging trainers to be engaged in strategic goals definition, analysis of organizational processes as well as provision of better and systematic performance within an organization. They further emphasize that organizations need that type of training and development due to transformation in striving to become self-directed, cross-functional, process-oriented and knowledge-based models to maximize their competitive edge and meet new performance standards.
- Link pay to both individual and organizational performance: high fliers should be recognized and motivated for their sterling performance and this should be through rewards, because excellent performers are assets to their organizations. The rewards can be in the form of bonuses or pay increases (IDM Consortium, 2006).
- Communicate the reward system: the reward system should be embedded and visible in the performance management system for employees to know and understand before implementation. The reward system should link employee knowledge and skills with organizational results.
- Managers' accountability for communicating the system: managers are accountable for cascading information to the lower echelons of the organization because they are change facilitators. They should be inspirational and act as role models for their subordinates as well as demonstrate good and conducive behaviour for effective and efficient performance (Mangori, 2004)
- Set a clear development plan for employees: employees are the central point for organizational success and should not be viewed as machines or tools used for achieving results (Willard, 2001). Employees should be developed to attain competencies that would enable them to perform to expectations because a poor performer is a liability to the organization. In view of this, organizations should have in place a clear policy for developing their human resource. Employees should be trained and empowered for speedy service delivery to retain customers more than any competitor, and act like a gazelle which wakes up very early each

morning to run as fast as it can, and as far away as possible from a hungry lion (Moroka, 2009).

- Tracking the effectiveness of the system: system monitoring and evaluation is an important ingredient for establishing its effectiveness and relevance. Alignment with performance objectives should be checked at every phase of the plan period because unfair assessment could result (Du Plessis, 2007).
- Adjust the system as required: mainly to incorporate changes that might have occurred in the dynamic environment because PMS is an iterative process. The changes should be communicated to all the employees so that they can adjust their PDPs accordingly (Du Plessis, 2007).

Joina (2007) observes that employees play a vital role in the success of any organization and should be taken aboard any new initiative to avoid "SPOTS" syndrome, meaning, Strategic Plan on Top Shelf (gathering dust) as observed by Joina (2007).

To establish how well the organization is achieving its intended objective and ensure that all organizational parts work harmoniously, Peters and Waterman developed the McKinsey 7S framework in the 1980s. The model suggests that for an organization to be successful, there are seven internal aspects to be considered for alignment. The 7S' are categorized as either 'hard', which includes strategy, structure and system, or 'soft' including shared values, skills, style and staff. The hard elements are easier to identify and can be directly influenced by management. They are statements of strategy, organograms with clear reporting channels, formal processes and ICT systems. The soft, on the contrary, are not easy to describe, less tangible and heavily influenced by culture. It is therefore imperative for organizations to align these elements for them to be successful (Mind Tools, 2009).

2.4 Characteristics of an Effective Performance Management System

Mohrman (in Spangenberg, 1994:65) asserts that for PMS to be effective some key perspectives should be taken into consideration, including the following:

- Managers should encourage the organizational culture that is inclined to goal-setting and practice management by objectives. The organizational leaders should also understand the practiced philosophy so that they can clearly communicate with their subordinates without ambiguities.
- Performance should also be managed and measured across all the levels in the organization as per the quality management lessons. The levels include individual and team.

- Organizations should strive for continuous improvement especially so that the PMS-oriented manager prefers live information as opposed to out-dated information. Employees should be equitably rewarded for the achievement of a successful performance management system and creative thinking as reiterated by Selepeng (2002).

In addition to what Mohrman suggests, Joina (2007) emphasizes that it takes leadership commitment for successful implementation of strategy. The leaders should refrain from being a hero leader, individualistic and hierarchy conscious because these actions stifle performance. She further highlights that coercion strategy whereby positional power is used, often leads to failed programmes due to resistance from the employees unwilling to perform some actions. Leaders need positional and personal power as well as excellent communication skills for inspiring their subordinates to rally behind them. The leaders are further described as the basic resource, the scarcest, most expensive and most perishable and need constant replenishment as indicated by Drucker (in Joina, 2007). To summarize, leaders should be receptive to change, refrain from operating as silos and/or tyrants and delegate some responsibilities to their subordinates as a way of employee empowerment and recognition.

Tsonope (2007) further brings to light that the organizational structure is one of the success factors for implementing PMS, because the specific actions that should be undertaken to implement strategy are defined and the degree of autonomy of each employee, group, division or department autonomy in executing their duties. The organizational structure should be crafted in such a manner that the strategy fits easily into the organizational structure as indicated by Higgins and Vincze (in Joina 2007). A well designed organizational structure will indicate the job responsibility and indicate how each employee fits into the organization. The structure will also indicate the competencies relevant to each position, making developmental needs easy to identify.

The organizational culture also determines the receptiveness to strategy implementation. The culture that is receptive to implementation of strategy comprises of basic assumptions, values, norms and artifacts which should be well managed so that the organization copes with change (Joina, 2007). There has to be one best culture for organizational success that is understood by all employees, and Burnes (in Joina, 2007) argues that the four soft Ss' (staff, style, shared values and skills) are the key to organizational success. For instance, the United States Postal Services employed a culture of visible management to turnaround the low performance of the organization towards effective service delivery and improved financial performance (The Performance Centre, 2003). Organizations should therefore employ high calibre staff with relevant

competencies, the management style should be that which encourages high performance levels and the staff should have shared values and work as a team towards achieving organizational goals.

In the same vein, Lear (2002) points out that visionary organizations focus on their core ideology, their core values and sense of purpose, beyond just making a profit. He further highlights that organizations that make great improvements are those that focus on building a strong culture in their organizations, within which their employees can excel, have initiative and a say in the planning process. These organizations create enabling environment for high performance by eliminating a bureaucratic culture that is believed to breed indiscipline which compensated incompetence. The performing organizations are those that have their culture filled with highly disciplined and talented employees who take disciplined action and act responsibly.

Collins (in Lear, 2002) however, cautions that a culture of discipline should not be confused with a tyrant who disciplines. One highly is functional, the other highly dysfunctional because saviour CEOs who personally discipline through sheer force of personality usually fail to produce sustained results. In creating a great workplace, paying attention to the cultural issues results in high productivity levels, profitability, employee retention and ultimately customer satisfaction.

Buckingham and Clifton (in Lear, 2002:2) also have this to say: "You won't find a CEO who does not talk about a 'powerful culture' as a source of competitive advantage. At the same time you'd be hard-pressed to find a CEO who has a clue about the strength of that culture." In essence, organizations should create a culture that allows employees to be successful through innovativeness and motivation, with managers providing support and trust. Lear (2002) observes that if organizations can adopt the following shared values they can perform to their best.

Table 2.1: Culture of performing organizations

1. Treat others with uncompromising truth
2. Lavish trust on your associates
3. Mentor unselfishly
4. Be receptive to new ideas, regardless of their origin
5. Take personal risks for the sake of the organization
6. Give credit where it is due
7. Do not touch dishonest dollars
8. Put the interest of others before your own

Gary Lear (2002:2)

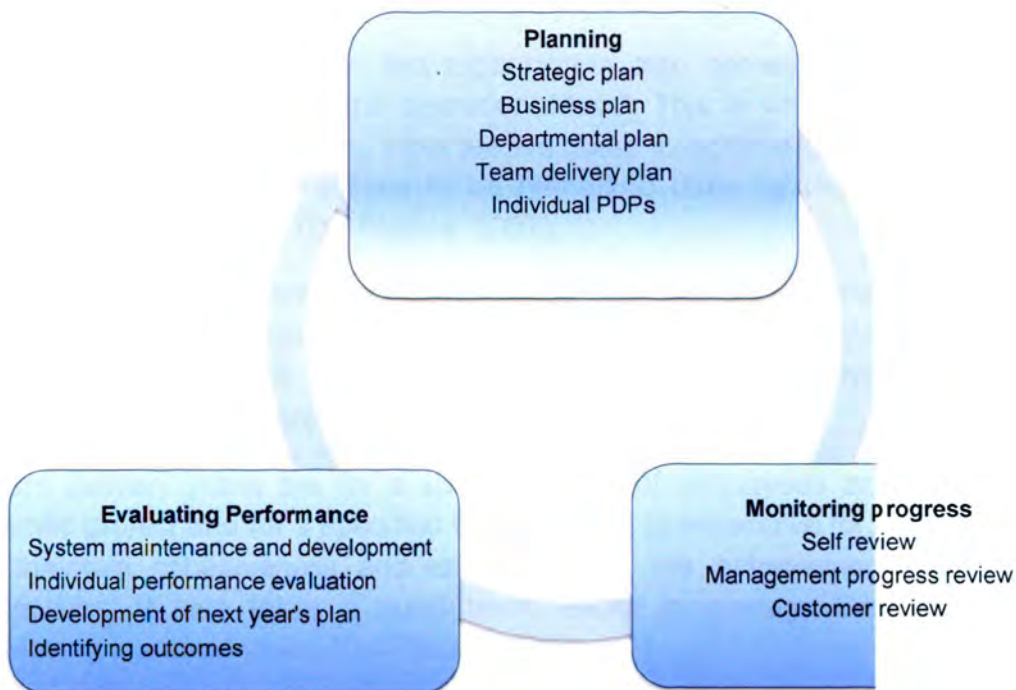
Furthermore, PMS should be seen as an initiative meant to help public sector organizations to meet their targets. For organizations to achieve their planned objectives their strategic direction should be clear to everybody and PMS exists for that. The performance measures should also be used to check whether performance is on track or not (Marr, n.d.).

In addition, Marr (n.d.) highlights that the performance management analytics should have the right analysis skills so that they can align data with the organizational strategy. He also reveals that organizations are data-rich but information-poor due to a skills gap.

2.5 Performance Management Cycle

Figure 2.4 illustrates a performance management as a continuous process that needs to be undertaken by performing organizations.

Figure 2.2: A performance management cycle



Du Plessis (2007:15)

Phase 1: Planning process

This phase involves the strategic plan of an organization (usually 3 to 5 years), consisting of strategic choices that lead to effectiveness and efficiency of the organization. It is the stage where the organization formulates its vision, mission and strategic goals taking cognizance of its strengths to take advantage of the available opportunities, and converting its weaknesses and threats into opportunities and strengths. It is a stage where the organization reflects on the previous performance, decides on the successes, and discards the negatives that were detrimental to performance. It is the organization's point of departure, where the desire to change is felt and the organization re-defines the strategies to forge ahead (Du Plessis, 2007; Hacker, Wilson & Johnston, 1999).

The process also involves identifying the highest leverage performance drivers that are related to the achievement of organizational objectives and the use of data analysis techniques such as Pareto charts, control charts and the fish-bone/cause-and-effect diagrams to identify the vital few performance drivers. The plan indicates the responsibility centre for execution, the time frame within which to accomplish as well as the achievement and the performance indicators (The Performance Centre, 1993).

During the planning phase, the organization also comes up with an annual business plan which is at the operational level. This is where the organization tries to answer the question, "How are we going to achieve our plan?" This plan will outline the specific actions to be embarked upon by the organization for achieving its objectives (Du Plessis, 2007).

Departmental plans are also designed as per the unique mandate of each department. These plans will spell out departmental key result areas or the "must achieve" for the different departments towards the achievement of the overall organizational objectives (Du Plessis, 2007).

Team delivery plans are for a specific group of employees and will be on a specific project and for a specified time frame. It is imperative for team members to maintain cohesiveness and team spirit for the achievement of the team objectives. It also takes a good team leader to manage the dynamics for achieving a shared vision (Du Plessis, 2007).

Individual Performance and Development Plans (PDPs)/ performance agreements are developed for each employee at organizational level. These are agreements between the supervisor and the supervised, stating the objectives for that individual and they should drive the departmental objectives which in turn drive the overall organizational objectives. The PDPs should also incorporate an

analysis of the employee competencies and skills gaps for development purposes (Du Plessis, 2007; Kelly, Ang, Chong & Hu, 2007).

The planning phase is therefore critical for successful organizational performance because all the individuals, including managers, subordinates and stakeholders should be involved so that they can fully understand their roles at any given point in time. It is the stage where expected results, values, skills and competencies are spelt out in no uncertain terms. Involvement of all individuals will surely lead to employee, leadership and stakeholder commitment and ownership of the plan, as well as cultivate team spirit (Joina, 2007).

Phase 2: Monitoring performance progress

Progress can be monitored through self review where each employee looks at their performance before the formal review by the supervisor. This helps employees track their performance and seek assistance from peers as well as cultivate a sense of responsibility. It also helps individuals re-align their actions towards achieving the agreed objectives (Du Plessis, 2007).

Informal reviews are done to enable sharing performance feedback among supervisors and employees, and to ascertain whether the action plans have been successfully executed and desired results achieved (Du Plessis, 2007). This management progress review caters for changes in performance agreements because performance agreements are not static but subject to change within the environment. These reviews also allow for guidance and re-alignment as well as increasing individual accountability and urgency for delivering results. The regular holding of informal reviews also improves the implementation effectiveness (The Performance Centre, 1993).

The customer review allows the organization or department to get feedback from the customers and /or stakeholders, who are recipients of the service provided. It has to be noted that customers can either be internal or external to the organization, as such the review mechanism should be clearly spelt out at the planning stage and well communicated to all the concerned parties (Du Plessis, 2007; Joina, 2007).

Phase 3: Performance evaluation

It is crucial to collect data on the evaluations outcomes to ensure consistency and reliability of the system, thus ensuring system maintenance and development. Managers and leaders should be in the forefront in ensuring that the evaluation is done because they are accountable for the success and sustainability of the system. This is the stage where standardization or

institutionalization of the measurement system is done so that backsliding does not happen (Du Plessis, 2007; Kelly *et.al* 2007; The Performance Centre, 1993).

Individual performance evaluation is conducted for every employee according to the agreed measurement as embedded in the performance management system. Performance evaluation or review is done to establish how far the employees have gone in achieving their objectives as well as establishing their performance gaps. The evaluation is normally done by the supervisor at the agreed time and place, though it can be a group evaluation whereby other employees can participate. The evaluation should not be used as punishment but as a chance for positive and objective feedback towards employee training and development (Du Plessis, 2007; Kelly *et.al*. 2007). It would be ideal to conduct individual evaluations on a quarterly basis to take timely corrective action.

The performance evaluations are normally followed by the development of the annual plan for the ensuing year, and the previous year's plan can be used as a base. The annual plan indicates both performance objectives, and individual training and development requirements, and the plan should be linked to the budget (Joina, 2007; Du Plessis, 2007).

Outcomes identification should be done after every planning period where an organization reflects on the past year's performance. This is meant to identify the individual performance gaps for corrective action where an employee can be given training or their performance improved through coaching and mentoring, recognizing good performance in the form of financial or non-financial rewards, and institutionalize the lessons learnt for future reference (Du Plessis, 2007; The Performance Centre, 1993).

2.6 Managing through measures

Tangen (in Du Plessis, 2007) observes that Performance measurement entails quantifying action using an agreed yardstick or measurement system. Since each measure has its unique benefits and limitations, managers should use measures that suit particular situations. Therefore managers should decide on the measures that quantify both the effectiveness and efficiency of an objective.

It is thus crucial to understand that measuring performance is one of the critical success factors for an effective performance PMS, and PMS would not have any meaning without measurement as already indicated. Measures provide feedback as well as indicating organizational effectiveness. Performance measurement is a pointer which shows the extent to which organizational objectives have been achieved because it can also form part of formal goal-setting, and the success of

a performance measurement system depends on well established performance indicators as well as performance standards (Kelly et.al. 2007; Sale & Sale, 2006).

Performance measurement should not be seen as an end in itself, but as a tool for more effective performance management. It merely highlights indicators on what has happened but not why it happened nor what to do about the discrepancy, and therefore linkage to performance management is necessary. The measurement system should be defined, its purpose specified and the outcome indicators stated (Lunberg, Balfers & Folkesson, 2009). Performance measurement should assist managers to see if they have reached their targets and if they have not reached them, establish why and take remedial action.

Walters (in Du Plessis, 2007) points out that measures attempt to answer the following questions, the 4Ws and H:

- What are the objectives, that is, what do we want to achieve?
- What competencies, values or styles do we need to achieve these objectives?
- What internal assistance do we need to achieve these objectives?
- What changes do we need to achieve these objectives?
- How do we prioritize these objectives?

Ohemeng (2009), states that developed countries introduced performance management as a way of measuring organizational as well as employee efficiency for meeting public needs. Although PMS was meant to measure organizational and individual efficiency fairly, Ohemeng highlights that there are constraints to the implementation including culture, institutional fragmentation, public apathy and leadership support for the realization of the benefits.

For a performance management system to be effective, the following factors should be considered:

- Key result areas (KRAs) should be well articulated for guiding the appraiser and the appraised in reviewing the short-term targets in those KRAs. Understanding the KRAs clears the expectations of the supervisor and the supervisee because they both know what determines fairness in the assessment (Kelly et. al, 2007)
- Both appraiser and the appraised should agree on the appropriateness of the measurement system, that is, whether the measure will achieve what it was designed for because at times the objectives to be measured vary

and might render achieving a balance in measurement impossible (Sale & Sale, 2006).

- A good measurement system should be objective and not subjective, in that it should measure the results not the individual who performed the job (Sale & Sale, 2006).
- The measure should be standardized to achieve the purpose because if not so, it leads to unfair job assessments and some proponents vote for group assessment as opposed to individual assessment (Kelly et. al, 2007).
- The purpose of the system should be clear and comprehensive enough for every employee in the organization, for motivation purposes as well as creating awareness of expectations. It should be well communicated at all levels for maintaining harmonious relationships (Du Plessis, 2005).
- To create ownership and commitment, the involvement of employees in developing the measurement system is crucial. Participation in this endeavour will also lead to acceptance of the system and satisfaction amongst the employees (Sale & Sale, 2006).
- The relationship between the managers and the subordinates should be harmonious for weeding out any feelings of mistrust between the parties. This leads to worker's acceptance of feedback view it as positive, and not meant to disadvantage anyone (Kelly et. al, 2007).
- The manager should have relevant competencies and capabilities for using the measurement tool, and should not have any bias in order to render the measurement reliable and useful for providing feedback to be used for improving employee performance through coaching, mentoring and relevant guidance (Du Plessis, 2007).

Malina and Selto (2003) also bring to light that organizations can benefit from measures in that various aspects of the organization are taken into consideration. For instance, the measures will consider operational, strategic, financial and non-financial aspects. They further point out that measures are accurate and objective, especially the accounting ones. The non-financial measures include the value-chain measures that will indicate the leadership or management capabilities and measurement of time delays between decisions (Ittner and Lacker in Malina & Selto, 2003).

Similarly, Crandon and Merchant (in Joina, 2007) observe that flawed measures are detrimental to performance measurement and that managers often introduce systems which are not aligned and non-cohesive to organizational strategy. For achieving quality performance results there should be implementation of a decision-oriented model of controllable performance. The elements in the

performance plan should be estimated, responsibilities should be assigned for all performance drivers and there should be a common language linking operational performance measures and leadership responsibilities to organizational objectives at all the ranks for ensuring a well-balanced performance measurement that covers all aspects of the organizational core processes.

2.6.1 Frequently used Measures

2.6.1.1 Financial measures

Traditionally, organizations use financial measures to quantify their performance, some of which are as follows:

- Return on investment (ROI)

The measure determines profit as a percentage of the assets employed in the organization and is computed as follows (Drury in Du Plessis, 2007):

ROI is profit before interest and tax/capital employed, where capital employed is the book value of net assets. The measure is mostly used to determine whether the invested capital exceeds the cost of capital and focuses management attention on the impact of different levels of working capital on the ROI.

- Return on capital employed (ROCE)

This measures profit per annum in relation to capital employed (Nielson & Nielson, 2008). The shareholders are normally interested in the returns on their invested capital.

- Residual income

Drury (in Du Plessis, 2007) highlights that residual income evaluates divisional manager's performance, indicating the contribution of the division in relation to the capital cost on the total assets employed by that particular division. The measure encourages goal congruence although the shortfall is that comparison of organizations is not fair if they are of different sizes.

- Net profit

Total revenue minus expenses will result in the net profit. This measure looks at the bottom line of the organization after all the expenses have been paid.

- Shareholder value

Botten and Sims (in Du Plessis, 2007) refer to shareholder value as corporate value less debt. Corporate value is the present value of cash flows from activities over the forecast period, and any residual cash flows at the end of the plan period, such as those from asset disposal.

- Revenue

This refers to the asset inflows such as cash and cash equivalents received by an organization for the services rendered or the products sold (Horngren *et al* in Du Plessis, 2007).

The financial measures are normally relevant to managers who are given the responsibility to run the organizations to ensure efficiency and effectiveness, especially in the private sector.

2.6.1.2 Non-financial measures

For a long time organizations have been using financial or accounting-based measures for performance measurement. These accounting-based measures have proved inadequate, resulting in their being complemented with non-financial measures like customer loyalty, material usage, employee satisfaction and market share (Chow & Van Der Stede, 2006; Ittner & Larcker, 2003). These non-financial measures can assist managers to get a timely synopsis of the organizational performance, unlike the financial measures which normally reveal the state of affairs of the organization at the end of the year.

According to McAdam and Saulters (2005), the public sector looks at the demands of their service recipients, the voters and tax-payers whilst the private sector serves the customers and the stakeholders. They further say that the public sector should therefore add value to strengthen accountability to both parliament and the public, and should also consider non-financial measures which have measurable indicators. Their suggestions include the following (McAdam & Saulters, 2005):

- Invest in People (IiP) - involves training and developing the employees to achieve the organizational goals. This in turn leads to improved customer satisfaction as well as increased revenues, especially in the private sector, due to improved staff performance.
- ISO 9000: Quality Management Systems and Total Quality Management Quality refers to the wish to see the organization performing effectively and efficiently with less. The ISO standards advocate for the development

of simple, cost-effective and efficient quality management systems in addressing all business needs. They should be integrated in the performance management system, that is, in the vision and goals as well as organizational aims and objectives.

- **Benchmarking:** the process whereby organizations informally study comparison issues during staff inspections and business reviews to establish new ways of doing things or confirming effective and efficient performance. The performance experts argue that benchmarking leads to superior performance because of improvement in strategically important processes.

2.7 The Balanced Scorecard as a Performance Management Tool

Measurement matters: "If you can't measure it, you cannot manage it" (Kaplan and Norton, 1996:2). The balanced scorecard (BSC) is a strategic management tool providing the manager with a holistic picture of the organization's state of affairs. It was developed by Kaplan and Norton in 1992 due to some gaps in the traditional financial measurement systems, which did not consider the non-financial aspects of performance such as customer satisfaction and others (Balanced Scorecard Institute, 2009).

The BSC provides managers with the instrumentation needed for navigating the organization's future competitive success and also considers the long-term interests, as opposed to the financial aspects which are mostly short-term. According to Schoonover in Joina (2007), the financial measures are lag or historic indicators which do not depict the future organizational direction whilst the BSC encompasses that. McAdam and Saulters (2005) also assert that there was dissatisfaction with the financial accounting measures that are dominant mostly in the private sector.

Kaplan and Norton (1996) contend that the survival of companies in the information age is dependent upon the use of a management and measurement system that is derived from both strategy and capabilities. They further highlight that strategies for customer relations, core competencies and organizational capabilities should not be measured or motivated by financial measures only, but should be coupled with non-financial measures. They propose the use of the BSC which is more integrative than other measures because it links current customer, internal process, employee and system performance to the long-term financial success of the organization. It aligns the measure with strategy and provides a snapshot of the organizational direction and the actions to be taken. Kaplan and Norton (1996) liken the BSC to an airplane cockpit where co-ordination and integration of instruments is needed for a successful flight.

The BSC was designed to measure in addition, the factors that influence the financial outputs like process performance, market share, competency development and long term learning among other things. It is a management tool used by senior managers to periodically assess their organizational progress towards achievement of strategic goals (Blackbeard, 2007). NetMBA (2007) states that the BSC is a management system providing relevant feedback on how well the strategic plan is progressing so as to take corrective action in time. According to Rohm (n.d.), organizations need to do things right and do the right things in order to achieve a balance between strategy and operations. He asserts that the BSC as a performance management system can be used by any organization, private or public sector, irrespective of size, for aligning vision and mission with customer needs; capacity building; communicating progress across all organizational echelons and managing and evaluating the strategy.

As a holistic approach to performance management, the BSC aims at assisting organizations to be strategically and operationally excellent for surviving future challenges. It allows managers to determine if they are operating efficiently and effectively, as Covey (in Rohm n.d.) puts it, "People and their managers are working so hard to be sure things are done right, that they hardly have time to decide if they are doing the right things." He further asserts that the public sector BSC should be designed to capture the mission driven nature of public sector organizations to deliver the necessary, cost-effective services to the public as opposed to the private sector profit-driven organizations.

According to McCann (in Blackbeard, 2007), the BSC reveals the drivers that create the long-term financial competitive performance through investment in the lead factors or enablers such as the human capital, customers, partners and technology, to mention a few. It also links strategy to operational activities and managerial decision-making, which is achieved through linkages of both financial and nonfinancial measures to the organizational vision and mission or critical success factors.

Thus the BSC as a holistic view of performance management and measurement enables managers to look at all the critical success factors at the same time, ensuring that improvement in one area does not compromise achievement in another (Kaplan & Norton, 1996; Rohm, n.d). The BSC has the following four perspectives as identified by Kaplan and Norton (1996):

The financial perspective attempts to answer the question, "How do we look to our shareholders?" and determines if the organizational strategy implementation and execution are making any contribution to the bottom-line. The objectives to this perspective relate mostly to profitability which is measured in terms of return

on capital employed, operating income, economic value added, to mention a few. The perspective includes three phases. Firstly, the rapid growth phase characterized by committing resources for the growth and development of an organization, leading to increased volume of sales, revenue growth and increased market share. Secondly, the sustain phase where an organization maintains its existing share of the market, attracts new investments, ploughs back its profits and realizes increased return on investment. At this stage, the organization demonstrates its effectiveness to contain operational costs and continuous improvement. Thirdly, the harvest phase where most organizations have reached maturity and no longer invest heavily and are more concerned with maximum cash-flows and short-term pay back periods.

Kaplan and Norton (1996) point out that the current stage of the organization will determine the measures and performance indicators to be used. As Rohm (n.d.) indicates it is easier for the private sector organizations to develop their financial perspectives while the public sector organizations should look at their vision and mission to come up with relevant financial perspective. It has to be noted that traditional measures are not disregarded, only that they give an imbalanced picture regarding other perspectives.

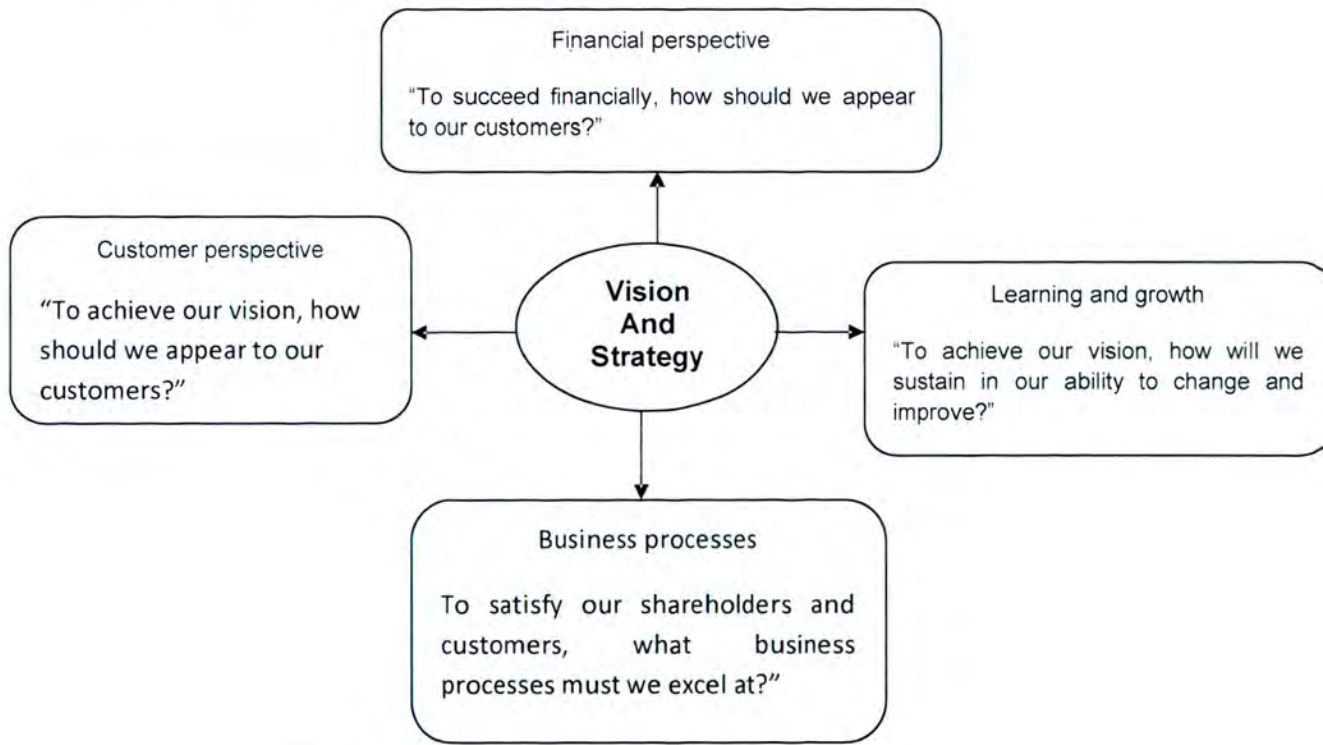
The customer perspective looks at the initiatives that the organization will employ to retain its customers and market share. The attempt here is to answer the question, "To achieve our vision, how should we appear to our customers?" The organization uses measures that take into consideration the value proposition of the service provided to the customer and these include turn around time, quality, cost, the ultimate outcome and impact being customer satisfaction and market share. The indicators to this perspective can be operational excellence, customer loyalty or product leadership (Kaplan & Norton, 1996).

The internal process perspective is mostly concerned with the critical processes in which the organization must excel to have maximum impact on customer satisfaction as well as achieving financial objectives because the perspectives have a causal relationship. It answers the question, "To satisfy our customers, what business processes must we excel at?" The focus is on all those processes and activities needed to provide the customers with the expected quality of service, including both short-term and long-term, as well as innovative process development that trigger improvement. The internal processes are grouped as, firstly, the operations which include asset utilization and supply chain management, secondly, relationship or customer management encompassing expanding and maintaining customer loyalty, thirdly, innovation including coming up with new products and fourthly, the services and regulatory whereby the

organization establishes harmonious relations with external stakeholders (Kaplan & Norton, 1996).

The innovation and learning perspective answers the question, “To achieve our vision, how will we sustain our ability to change and improve?” It is the bedrock upon which the other perspectives lie and an “infrastructure that the organization needs for future and long-term growth and improvement.” It is mostly concerned with the intangible assets the organization has, being knowledge, skills and abilities of the employees for supporting the value-creating internal processes. It is concerned with the people or human capital, systems or information capital and climate or organization capital for enabling the achievement of objectives in the other three perspectives. Improvement in this perspective requires some expenditure to close the gaps in the employee competencies, systems and procedures in terms of re-skilling, alignment of organizational procedures and routines as well as technology enhancement. The Key performance indicators for this perspective include investment rate, illness rate, percentage internal promotions, rate of labour turnover (ROLTO) and gender ratios (Chow & Van Der Stede, 2006).

Figure 2.3: The Balanced Scorecard



Balanced Scorecard Institute (2009:3)

The BSC as a performance measurement and management approach is multi-dimensional, linked to the organizational strategy, which looks at customer requirements, business processes as well as long-term sustainability (Otley, 1999). The linkage of performance measures to the business strategy is viewed as a major strength of the BSC in that defining appropriate measures is achieved. He further suggests that the BSC is a stakeholder approach and that is its major advantage.

2.7.1 Steps in building the Balanced Scorecard

When building the public sector BSC, Rohm (n.d.) suggests that there should be a change in the framework to capture the mission-driven nature of the public sector, placing emphasis on the accountability and results as expected by the citizens. He believes that for private organizations, it is clear that the bottom line is growth, profitability and competitiveness whilst in the public sector the outcome is necessary, cost-effective services, not compromising quality of course. Rohm (n.d.) recommends the following six steps in building the balanced scorecard:

- Situation analysis where the senior managers and executives develop, discuss and document the strengths, weaknesses, opportunities and threats (SWOT) of the organization, normally at a management retreat where there is minimal disturbance. It is a self-assessment or an organizational environmental scan to ensure validity and soundness of the business strategies. It is at this point that the champions are selected, resource commitment done and the roll-out plan determined as well as time frames within which to achieve the desired results.
- Developing the organizational strategy, covering issues like improving operational efficiency, improving education and others.
- Breaking down high level objectives into operational and specific objectives that can be measured. This is the step where the strategy is quantified for ease of measure.
- Creating an organizational strategy map to indicate how the objectives are connected with one another and placed under relevant perspectives, also identifying the key drivers for each strategy towards the desired outcomes.
- Developing performance measures that best communicate and capture what the objective intends to achieve. Necessary information sources are identified for each measure, as well as actions required to access that information. The linkages among the measures and the perspectives are identified as well as identifying how they affect one another, that is, the cause –and –effect relationships are identified amongst the measures and between the perspectives.

- Identification of new initiatives necessary to guide the organization towards achievement of objectives since they are the means to the end.

2.7.2 Benefits of the Balanced Scorecard

The BSC as a strategic planning and a management system has been applied across all sectors and it provides the following benefits to organizations:

- Translation of strategy into quantifiable measures, enabling managers to understand the strategy and create a shared vision. It helps focus the organization on the critical success factors and the management of strategy implementation. The BSC helps translate strategy into action (Blackbeard, 2007).
- Effective communication of strategic objectives across all organizational levels by breaking down high level objectives into operational objectives. Breaking down high level objectives helps the divisional managers and other employees to identify the requirements for excellent performance at their levels. By communicating the strategic objectives, executives gain commitment and ownership of the same, resulting in breakthrough future performance (Kaplan & Norton, 1996). The BSC assists in focusing the organization on the vital few things needed by the organization to create breakthrough performance and the Pareto rule can be used to identify those critical success factors.
- It is a planning tool that assists in setting targets and aligning strategic initiatives. It helps planners to identify the “must achieve” objectives and how to measure them (Balanced Scorecard Institute, 2009). Lingle and Schliemann (1996) observe that not all things need to be measured all the time and that what needs to be measured should be properly measured. In the same vein, the BSC assists in integrating various corporate programmes, thus creating alignment for maximizing performance.
- Strategic feedback and learning helps managers to receive feedback on the performance progress and the success of the strategy for necessary adjustment. It also provides feedback on both internal business processes and external outcomes for continuous improvement of strategic performance and results (Balanced Scorecard Institute, 2009).

2.8 Performance Management System in the Botswana perspective

The reforms initiated in the Botswana Public Sector before PMS date as far back as 1966 soon after the country's independence and were meant to improve efficiency and effectiveness in service delivery (Washington & Hacker, 2009). The need for public sector reforms was prompted by the need for facilitating the

socio-economic development given the country's humble beginnings. The early reforms were mainly administrative and internally focused because they guided and sustained the meagre resources at that time (Public Service Reforms Unit, 1999).

In an attempt to enhance performance, the government adopted a bottom-up approach in national and district development planning processes, guided by the four principles of democracy, self-reliance, unity and development. As a consequence of this participatory planning process and economic discipline, the country experienced impressive economic growth, though the past few years indicate a stagnant GDP (PSRU, 1999).

Capacity building was yet another reform initiated by government, ensuring localization so that Batswana take up positions initially held by expatriate employees. Training was done to bridge the gaps in skills and competencies and this has proved very successful although there is occasional need for foreign expertise (Dzimhiri, 2008; PSRU, 1999).

Financial and manpower ceilings were introduced in the 1970s to eliminate ghost positions in the public service as well as controlling growth in public service. Various ministries are given manpower ceilings and prioritization should be done by the ministries, ensuring minimizing vacancy rates, the reason why there has been decentralization of some activities is to improve service delivery and cut down bureaucracy (PMS Philosophy Document, 2002; PSRU, 1999).

The job evaluation is another performance improvement initiative undertaken from 1988 to look at equal pay for work of equal value. The exercise is mainly concerned with the assessment of the job and not the individual job holder. It is a systematic job-comparing method using a uniform set of rules to determine their levels of responsibility and remunerate according to the job responsibilities (PSRU, 1999)

Organization and Methods (O&M) review, introduced in the 1980s was carried out to establish clear functions, working methods. Structures and review should be carried out every five years to ensure compliance and relevance. It was basically introduced to improve performance and public sector efficiency (PSRU, 1999)

In view of government realization that the above mentioned reforms could not effectively address the challenges posed by globalization, there was a need to change strategy and come up with the best PMS fit (Joina, 2007). There was growing international competition, technological changes and changing customer demands. There was also pressure on the political leaders to be accountable to

the citizenry and this resulted in a shift of focus from socio-economic development to development of strategies that improve efficiency and effectiveness in public sector service delivery (PRSU, 1999).

The Work Improvement Teams (WITs) strategy was adopted in the public sector in 1993 after a study tour in Singapore and other Asian countries. WITs initiative is a problem-solving tool whereby teams are trained on the techniques used to solve work-related problems. The initiative has encouraged team work and participative decision making and employee empowerment. Creativity and innovativeness have been displayed by the implementation of WITs in government departments (PRSU, 1999).

In an endeavour to have a holistic, total systems and management control approach, the Botswana Government introduced PMS in the public sector in 2002 due to a general public outcry about poor service delivery. There was a need for accountability from the government to the tax payers and the public at large. The government could not ignore the pressure from the public, more so that the World Bank consultancy made a recommendation to government to introduce and implement PMS as a matter of urgency (Mpape, 2002). The recommendation was in view of the past reforms that did not improve public sector service delivery (IDM Consortium, 2006). Focal persons were thus selected from both public and private sector to go "East" on a fact-finding mission for benchmarking purposes.

When introducing PMS in the public service, His Excellency the President of the Republic of Botswana at the time, Mr. F.G. Mogae stated that the primary objective of the reform was to visibly improve both individual and organizational performance in a systematic and sustainable manner, an indication that the reform was here to stay (Hope, 2002). He further emphasized that customer satisfaction should be ensured through regular interaction and feedback from the organizations for providing a budget-linked planning and change management framework. The reasons for the introduction of PMS include improving the effectiveness of the organizations, improving training and development of individual employees as well as changing the way things have been done (Hope 2002; Matsetse 1999). To achieve these, it is clear that there should be a mechanism in place for customer and stakeholder feedback.

In view of the above, the Botswana National Productivity Centre was commissioned to design and install an appropriate and integrated PMS that would meet the Botswana public service needs. The BNPC thus worked with individual organs of state on the PMS installation (IDM Consortium, 2003).The

BNPC was to guide the process in the first year and hand over to the ministries for continued sustenance in the subsequent years (Dzimbiri, 2008).

In preparation for PMS installation, the government decentralized some functions to individual Ministries to empower Permanent Secretaries (Ministerial CEOs) to have control over staff working under them. Such powers include recruiting, appointing, promoting, demoting, training and discipline as well as dismissal of employees. This was meant to avoid delays experienced in a centralized system. Computerization of personnel management systems was also done to enhance availability of employee information at the push of a button (PMS Philosophy Document, 2002).

Joina (2007) further highlights that PMS sustains productivity at all organizational echelons, inculcates a performance culture in individual employees, ensures delivery on set and agreed objectives, instill a sense of accountability and maintains focus on results or outputs; thus a holistic and sustainable approach for improving productivity, manage performance and achieve set targets (Joina, 2007).

In addition, PMS is meant to address the gaps in the previous reforms such as weak planning at both ministry and department level lack of co-ordination, integration and ad hoc approach to performance improvement. Thus PMS is viewed as an initiative that will help government to “leapfrog and forge ahead” in meeting the ever changing turbulent environment (IDM Consortium, 2003).

Introducing and implementing PMS is seen as a turning point in the transformation of the Botswana public service and is seen as a systematic way of ensuring effective and efficient service delivery. It is a management control initiative where employees know what is expected of them because they are empowered (PSRU, 1999)

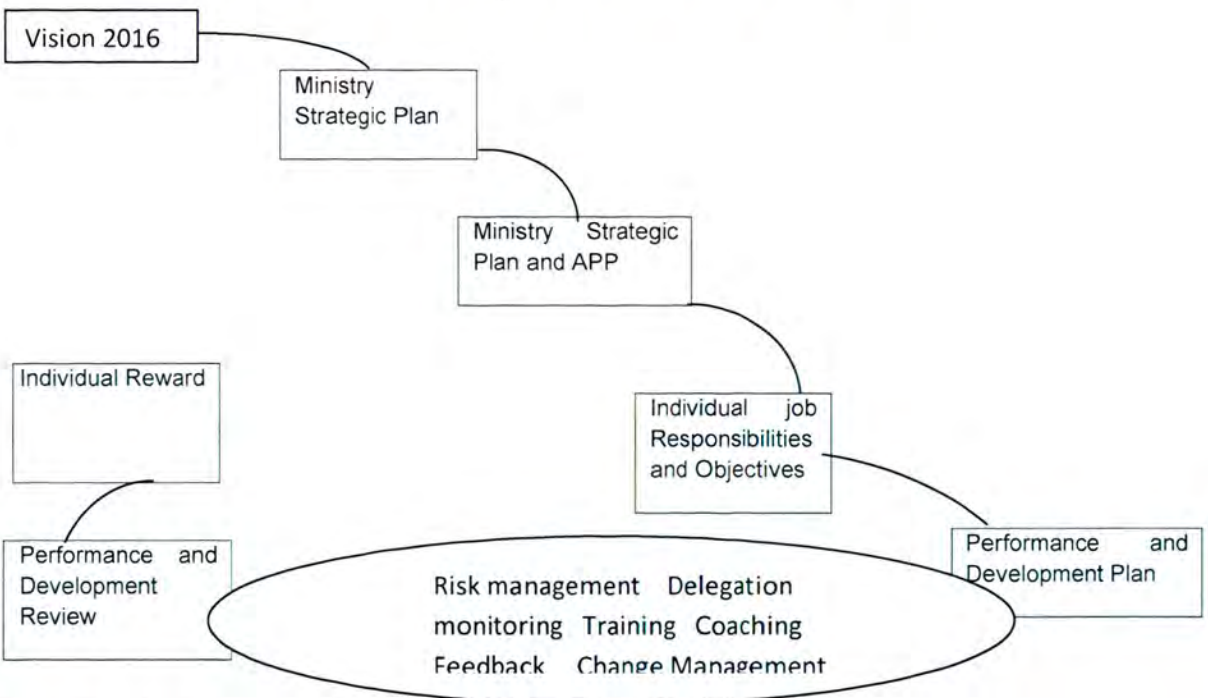
The IDM Consortium (2006) highlights that for Botswana, PMS specifically involves the processes and systems as implemented by government to improve delivery of strategic objectives as espoused in the national Vision 2016 document. The agreement on objectives and plans for performance improvement between permanent secretaries, senior and junior civil servants is another process towards achievement. The quality of performance dialogue, where subordinates are managed and coached throughout the year, the performance review that has replaced the old, subjective appraisal system as well as reward and recognition processes supporting the performance improvement agenda should characterize the Botswana PMS. This is seen as a way of opening up and

enhancing communication channels between managers and subordinates, where joint planning is done to encourage ownership.

The IDM Consortium (2006) further highlighted that PMS should be seen as a continuous improvement cycle, underpinned by sound processes to ensure skills development for public servants with the view to produce high quality service delivery, and this can be achieved through training as well as career management. In this way, departments are able to retain needed talent and sustain quality service delivery.

The Performance Based Reward System (PBRS) was introduced in 2004 to link organizational and individual accountability through preparation of performance and development plans, whereby reviews are done on a quarterly basis (PSRU, 1999). This is the implementation stage of PMS encouraging individuals to continuously improve their performance and alignment with the vision, strategies, goals and objectives of the ministry. The assumption here is that employees should understand their reason for being in the organization (Hacker et.al, 1999; Malina & Selto; PSRU, 1999). The system aims at rewarding good performance; attracting and retaining high performers (PSRU, 1999). The PBRS indicating the linkages with PMS is depicted below.

Figure 2.4 Performance-based Reward System linkages with PMS



Public Service Reforms Unit (1999:15)

As a way of further improving the management control, the BSC perceived as a measurement and reporting tool was introduced in the Botswana public sector later in 2004 to aid in strategy execution. The reform has assisted in priority identification and monitoring performance towards achievement of Vision 2016 and National Development Plans (NDPs) as well as Ministerial/Sectoral outcomes (PSRU, 1999).

The PSRU (1999) further indicates that the BSC has assisted in identifying actions that can be taken to close performance gaps as well as encourage accountability through transparency. A framework for performance measurement is now provided for managers such that overseeing project implementation, managing both delays and resources has greatly improved.

Furthermore, the BSC enhances collaboration between government ministries and parastatals because their efforts are complementary and co-ordinated, aimed at serving the same customer from the same public coffers (PSRU, 1999). The collaboration between ministries results in the availability of information for making informed decisions, a basis for effective development planning and verification of performance across ministries.

Despite the introduction of PMS, there is still public outcry that the public service is still not meeting customer expectations. Customer satisfaction level of twenty-five percent (25%) is reflected in the Government of Botswana Customer Satisfaction Survey for the Public Service of 2005. To further improve public service delivery, the business process re-engineering (BPR) initiative was introduced in 2006 to set and monitor public service performance standards for creating and maintaining a waste-free public service (BPRU, n.d.).

2.9. Challenges in PMS Implementation

According to Dzimbiri (2008), PMS implementation is bedevilled by challenges such as knowledge or information gaps amongst public employees, consultants and PMS co-ordinators in ministries and departments. Lower level employees have little or no knowledge about PMS, especially those in outstations because training was mostly done at headquarters. PMS was not treated as a project and the implementers and managers lacked project management skills for effective implementation.

System-wide commitment is lacking in that some employees feel PMS is additional work, leading to non-commitment, more so that performance is not linked to rewards. The other identified challenge is that there is resistance to change from some quarters in the public service, leading to PMS moving at different paces (IDM Consortium, 2003).

The effectiveness of PICs is hampered by the additional duties that employees perform over and above PMS, coupled with inadequate knowledge, experience and confidence in implementing the reform, resulting in demotivation on their part (Dzimhiri, 2008; Joina, 2007).

Dzimhiri (2008) further cites reforms fatigue as one of the challenges in successful PMS implementation. The introduction of one reform after the other within a short space of time leads to confusion, non-committal and non-implementation of the reform. Employees are not given enough time to understand and internalize a reform before introducing another one.

The Public Sector Reforms Unit (1999) further identifies some of the challenges in PMS implementation as follows:

- There is inadequate change management, especially the mindset to transform the current work culture where people are not adequately prepared to receive and internalize the change. The change is normally so sudden that people become resistant.
- Inadequate financial resources to run workshops resulting in information gaps as identified by Dzimhiri (2008).
- Employees who enter the public sector after PMS installation are not given any training on the reform
- Different levels of academic background results in poor understanding of PMS
- The traditional culture that one cannot give orders to an elderly person when they are supposed to be supervising that person also hampers PMS effectiveness as observed by Ohemeng (2009)
- Inadequate consultation in organs of state
- Lack of transparency such that some people do not fully understand what PMS aims to achieve.
- Inadequate incentives and training leading to low morale in the public service
- Non-integration of PMS with other public service reform initiatives

To add on to the identified challenges, Makhaya (2005) contends that fear is another factor stifling performance. Individuals are afraid of taking initiatives, thereby making mistakes that might cost them their job, fearing to step on the toes of the boss in expressing themselves. It is therefore important to make the workplace as habitable as it can be and maintain an open door policy where employees should be able to express themselves freely and make initiatives that can improve the performance of the organization.

In the same vein, Kuate (2008) identified challenges bedevilling the implementation of PMS in the Botswana public service as resistance to change where people are fearful of the unknown. The employees also see it as a time waster competing with their work due to the numerous workshops attended. It was also not implemented in all departments at the same time and some employees were not trained on the reform.

It has also emerged that there is a skills gap in the PMS analytics such that they are not able to align the performance data with the organizational strategy. Too many performance indicators and lack of clear strategic direction also pose a challenge towards successful PMS implementation (Marr, n.d.).

2.10 Chapter summary

The reviewed literature has highlighted the importance of PMS in both public and private sector organizations and has also brought to light the various aspects necessitating successful implementation of the reform. It is however critical for organizations to tailor make their own implementation strategies, depending on their mandates, rather than replicating what other entities are doing. This chapter will also provide the basis for the results in Chapter 4 as well as the conclusions and the recommendations to be discussed in Chapter 5.

The next chapter presents the Method.

CHAPTER THREE

METHOD

3.0 Introduction

This chapter outlines the framework which was used to collect and analyze data because research is a systematic way of data collection and analysis for the purpose of understanding what we are interested in.

The present study, meant to explore and establish the effectiveness of PMS in the Ministry of Trade and Industry (MTI) in the Republic of Botswana was carried out by reviewing the relevant literature, using the mixed method approach, that is, qualitative and quantitative design through focus group interviews and questionnaires respectively.

The study was exploratory in nature, meant to gain a broad understanding of PMS in the Ministry of Trade and Industry. The nature of the study also enabled the researcher to formulate specific research objectives and design questions relating to the PMS effectiveness.

3.1 The Participants

The study was undertaken in Gaborone, the capital city of the Republic of Botswana. The present study covered all the five functional departments, and targeted all the 840 employees of the Ministry of Trade and Industry. The Ministry comprises five functional departments meant to carry out its mandate and they are, Co-operative Development (DCD), Industrial Affairs (DIA), International Trade (DIT), Ministry of Trade and Industry /Ministry Management (DMM) and Trade and Consumer Affairs (DTCA). The DMM includes Registrar of Companies and Intellectual Property (ROCIP). The table below shows the pool of respondents by departments and the sample sizes.

Table 3.1 Population and sample sizes

Department	Population	Sample for questionnaires	Date of Interview	Focus group members
Co-operative Development	253	25	24.09.09	6
Industrial Affairs	103	10	N/A	Not conducted
International Trade	70	7	14.10.09	4
Ministry of Trade and Industry	216	22	13.10.09	8
Trade and Consumer Affairs	198	20	24.09.09	5
Totals	840	84		23

Stratified random sampling was used whereby the population, representing the employees in the MTI was sub-divided into homogeneous groups (strata), being the departments in the MTI as indicated in Table 3.1 above. The 84 respondents (10%) for the questionnaire were proportionally calculated per department to ensure fair representation of the population. The 10% sample was considered as reasonably representative of the population and the recommendation of the sample size was from the Statistics Department in the Mafikeng Campus of the North West University.

After calculating the sample size for each department, the respondents were randomly given the questionnaires and the criteria used were the availability of the respondents in the workplace and their willingness to respond to the questionnaire. The questionnaires were distributed bearing in mind that a quota for each department should be reached (refer to Table 3.1). The convenient questionnaire distribution was also based on the premise that all the MTI employees should be knowledgeable about PMS, would provide the relevant data and that they are working as a team towards achieving the visions of their respective departments and eventually that of the MTI.

Since the study employed a mixed method approach, there were focus groups which comprised senior management teams (SMTs), PMS desk officers and the MTI performance improvement co-ordinator. Creswell (2003) defines a mixed method research as the study in which both quantitative and qualitative data are collected and analyzed.

The five focus groups were purposively sampled because they were relevant for triangulation purposes and the group sizes varied from 4 to 8 depending on the number of managers in each department. According to McNeill and Chapman (2005), purposive sampling refers to the deliberate selection of units of analysis regarded as representative of the population under study.

The SMTs selection was based on the researcher's judgment due to her familiarity with the set up in the Ministry of Trade and Industry by virtue of being an employee in the same Ministry. Furthermore, the SMTs as departments' representatives and leaders of their organizational strategies by virtue of their positions should be more knowledgeable about PMS. The SMTs consisted of Directors, their deputies and heads of divisions. Their lengths of service ranged from 2 to 30 years.

The disadvantages of the purposive or judgement sampling as observed by Dawson (2007) is that it relies heavily on the researcher's subjective as opposed to objective considerations and often leads to non-representativeness of the

population because the focus group members normally say what the ideal situation is, as opposed to what is happening on the ground, and in this way concealing their weaknesses. The use of the quantitative approach helped in neutralizing the biases that might have been introduced by the selection of the focus groups.

3.2 Measuring instruments

3.2.1 The questionnaire

For the quantitative approach, a questionnaire (Appendix III) was used as a measuring instrument. It was prepared and designed after thorough planning and in-depth reading of the PMS philosophy, success factors and the challenges thereof. The questions were predetermined and they were a combination of both closed questions on a five-point Likert scale ranging from strongly disagree, disagree, do not know, agree, to strongly agree while the other responses ranged from very low, low, do not know, high, to very high, and these were given numerical values for ease of analysis. Strongly disagree and very low were assigned 1, disagree and low were assigned 2, do not know was assigned 3, agree and high were assigned 4 while strongly agree and very high were assigned 5. There were also open-ended questions to allow the respondents to express themselves further.

The questionnaire was sub-divided into sections A to F. Section A was the respondents' demographics, Section B was on the PMS processes and it was further sub-divided into B1 which dealt with planning and B2 which was about performance review. Section C was on communication and the questions were open-ended. Section D was on the resource allocation, Section E dealt with leadership and Section F was on the culture at the MTI. There were also some open-ended questions that followed the sections (see Appendix III).

The questionnaire was used because it is inexpensive to administer and a large number of respondents were surveyed in a short space of time. The drop and pick strategy was used to ensure delivery and completion of the instrument by the respondents. Five research assistants, one per department, helped the respondents to complete the questionnaires where respondents needed clarification regarding the questions. In instances where both the research assistants and the respondents were not clear, the researcher was contacted for clarification because contact details were provided.

The researcher had initially sent the questionnaire to the PMS co-ordinators to seek expert opinion on its design and the questionnaire was revised on the basis of their comments and recommendations. After expert opinion, a pilot study was

conducted on 10 respondents and 9 questionnaires were filled in and returned, with 1 not properly completed. The pilot study was meant to establish the validity and reliability of the instrument. A statistical technique, Cronbach's alpha which is reliability co-efficient was computed for the pilot study to determine the reliability of the questionnaire and the results are indicated below.

Table 3.2 Case Processing Summary

		N	%
Cases	Valid	6	85.7
	Excluded ^a	1	14.3
	Total	7	100.0

a. Listwise deletion based on all variables in the procedure.

SPSS calculations

The pilot study also revealed that the instrument was valid because responses were relevant to the needed data.

Oppenheim (1992) observes that the problems normally encountered in administering the questionnaire are that some respondents do not complete the questionnaires honestly and accurately but just hurry through them, but because there were some research assistants, they assisted the respondents to complete the questionnaires. Probing or follow up was not possible because the questions were pre-determined and this might have left out some important data. Joina (2007) further highlights that another limitation is that the questionnaire might be completed by somebody else other than the selected respondent. Questionnaires generally have a low response rate, but the research assistants followed up on the respondents to ensure completion.

3.2.2 Focus Group Discussions

For the focus group discussions, a schedule of pre-determined open-ended questions (Appendix IV) was prepared after reading the relevant literature. The schedule was also sent to the PMS co-ordinators to seek their opinion. The same questions were discussed with the four groups and probing was done during the discussions to get a comprehensive view of how PMS is implemented in the MTI. The discussions were tape-recorded and notes taken so that reference to the

responses could be made at the data analysis stage. The notes and the voice recordings are available as proof of what the researcher actually did during data collection.

The data from the focus group discussions were transcribed and summarized to get the central meanings of what the participants wanted to put forward to the researcher. The meanings were then grouped to come up with themes for each question. The qualitative data was blended with the quantitative data in the analysis process.

3.3 Procedure

The study employed a mixed method approach where both qualitative and quantitative were collected at the same time. It was both exploratory and descriptive because the researcher knew the variables and their direct bearing on the effective implementation of PMS in the MTI. The use of both methods neutralized the biases inherent in any one of the methods and this also made triangulation possible. Both forms of data were collected concurrently for a comprehensive analysis.

An observation by Chadwick, Bahr and Albrecht (1984) is that the mixed method approach maximizes the validity of the findings and all the possible aspects were explored to get to the core of what the study was all about thereby getting data that might have been omitted by either one of the approaches individually.

3.3.1 Qualitative approach

Focus group interviews were conducted on the scheduled dates (see Table 3.1 for schedule of interviews) to capture what might have been omitted by the questionnaire and the Directors were telephonically contacted two days prior to the scheduled dates to remind them and confirm the interviews. The focus group interviews ran between one and two hours and the time was negotiated with the Directors or their representatives prior to the commencement of the discussions, taking cognizance of the fact that the discussions were held during working hours. The researcher further explained the purpose of the interviews verbally so that the participants who might not have seen the letters could understand what the discussions would be about.

The respondents were given copies of the questions and the researcher acted as a moderator and directed the discussions to get information relevant to the study and minimize digressions. As a qualitative approach, non-numerical and unstructured data was captured by tape recording the discussions and taking notes to later verify the quantitative data. The researcher also sought to

understand the experiences of the respondents by asking probing questions to understand further and have a holistic picture as to how PMS is implemented in the MTI. Rapport was established with the respondents to get a true picture of their real work situation by holding the discussions at their respective departments.

The discussions were tape recorded and notes taken to corroborate the findings and capture what might have been left out during the discussions. The qualitative design also allowed for analysis of concepts and /or themes and it is normally constructivist or relatively subjective because the researcher might misinterpret the responses from individual respondents in trying to derive some meaning or establishing a common theme out of varied responses, as observed by Nieuwenhuis (in Maree, 2007).

Holding focus group discussions enabled the researcher to get a wide range of responses in one meeting and it was also time-saving. Researcher bias was also greatly reduced because the respondents asked questions and clarified issues amongst themselves without any leading questions from the researcher. The focus group discussions provided detail-rich data that would not have otherwise been achievable by other methods like the questionnaire. The respondents were also more focused on the researcher's area of interest because the moderator directed the discussions. The focus group interviews helped the researcher to extract information that would enable triangulation and comparison of the respondents' opinions. According to Welman and Kruger (in Matthee, 2005), triangulation is the inductive approach that allows the researcher to identify recurring patterns and consistent regularities in the study.

3.4 Ethical considerations

Ethical considerations should be borne in mind throughout any research project for guiding the researcher's behaviour to abide by the broader social norms. It is the appropriateness of the researcher's behaviour in relation to the rights of the respondents, the collected data and the findings or the results (Dawson, 2007; Joina, 2007).

In adhering to the ethical considerations, permission was sought from the respective Department Directors to undertake the study and the letter of introduction (Appendix I) from the Faculty of Commerce and Administration of the North West University Mafikeng Campus was produced as proof of the researcher being a *bona fide* student of the institution. The introduction was further simplified by the fact that researcher is an employee of the MTI.

To ensure informed consent, the researcher also explained the purpose of the study to the respondents in the letter attached to the questionnaire (Appendix III) and the one requesting for focus group interviews (Appendix II). The respondents were assured of confidentiality regarding the collected data and they were not coerced into participating, hence they participated willingly. Before commencing with the focus group interviews, the respondents were verbally informed that the proceedings would be voice recorded. The purpose for doing this was to ensure informed consent so that the respondents could give true and useful information.

It would not suffice not to mention the trustworthiness of the research. Marshall and Rossman (in Ambe, 2006) explain trustworthiness in a qualitative paradigm as the soundness upon which the research value can be based or judged. Joina (2007) alludes to this by highlighting that research is an argument therefore the researcher should not be believed because she is charismatic or outspoken but because she can plainly and clearly show that what she did was based on the findings and conclusions thereof, without any misrepresentations.

3.5 Chapter Summary

The chapter presented the boundaries to the study (the MTI in Gaborone, Botswana), participants or the respondents, the population and sample sizes, how the respondents were selected and justified the use of the sampling procedure. The measuring instruments were discussed pointing out their validity and reliability. The research design or procedure was also discussed, which is the mixed method approach (both quantitative and qualitative designs), justification on the choice of the design and the data collection methods were also discussed.

The ethical considerations were also highlighted to the satisfaction of the research protocol, and the trustworthiness of the research.

The next chapter presents the analysis of data and the findings of the study.

CHAPTER FOUR

RESULTS

4.0 Introduction

This chapter presents the results of data collected through the questionnaires and focus group discussions. It takes cognizance of the critical factors for the successful implementation of PMS. In this chapter, questions such as, "What are the findings? What do the data reveal?" are answered.

As already discussed in the previous chapter, PMS provides a holistic framework upon which organizational success is based and this can only be possible if the important variables such as planning, measurement, leadership, communication and resources are taken note of.

4.1 Results from the data

4.1.1 The questionnaire

Out of the eighty-four (84) questionnaires distributed in the MTI, sixty (60) were filled in and returned, representing seventy-one (71%) percent. One questionnaire was incomplete and therefore excluded from the analysis, so the remaining 59 represented 70% of the sample. The questionnaire was previously tested on ten respondents, refer to Table 3.2, and page 55 for the results. For the whole study, the alpha co-efficient is presented in the table below.

Table 4.1 Reliability Statistics

Cronbach's Alpha	N of Items
.777	50

SPSS calculations

Table 4.2: Population and sample sizes

Department	Population	Sample	Percentage	Questionnaires received	Percentage
DCD	253	25	10	16	64
MTI	216	22	10	14	63
DTCA	198	20	10	15	75
DIA	103	10	10	8	80
DIT	70	7	10	6	86
Total	840	84	10	59	70

Table 4.2 above presents the sample sizes and the respondents to the questionnaire per department.

Table 4.3: Gender Distribution

Gender	Frequency	Percentage
Male	13	22%
Female	46	78%
Total	59	100%

The above table represents the gender of the respondents to the questionnaire, the frequencies and the percentages. The high percentage of females is attributable to more female employees than males in the MTI in an attempt to maintain gender balance. The other factor is the nature of work where field visits are undertaken, and male employees will be out most of the time.

4.2 Demographic Profile

4.2.1 Age Distribution

Information was sought on the ages of the respondents and this was meant to establish whether age has an influence in PMS implementation.

Table 4.4: Respondents' age distribution

Age group	Frequency	Percentage
20-30	15	25
31-40	20	34
41-50	16	27
51-60	8	14
Total	59	100

The employees' age distribution is presented in Table 4.3 above. The data indicate that more respondents, 34%, are on the age bracket 31-40 years, followed by 41-50 at 27%. These age brackets normally comprise employees at the prime of their service delivery and still energetic. Employees in the age bracket 20-30 accounted for 25% and these are the employees who do not have much work experience. The age bracket 51-60 was 14%, most probably few in number because some employees left the MTI in search of greener pastures, or have retired. Note that the compulsory retirement age in the government is sixty years and some employees would normally opt for early retirement.

4.2.2 Respondents' work experience

The researcher further looked at the respondents' length of service in the MTI and the results are presented in the table below.

Table 4.5: Respondents' work experience

Length of service	Frequency	Percentage
1-10 years	35	59
11-20 years	14	24
21-30 years	9	15
21-40 years	1	2
Totals	59	100

The above table shows the respondents' length of service in the MTI. The data reveals that more employees have been in the service for 1-10 years an indication that most of them were in the service when PMS was introduced. The high percentage (59) is indicative that the employees are still gaining experience before actually looking for greener pastures. The data also indicate that most of the employees were in employment when PMS was introduced and implemented in the public service in 1999.

4.3 Objective 1: To evaluate the PMS implementation processes in the MTI

Working hypothesis 1: The MTI is not following the planning processes

Respondents were asked questions on the PMS implementation processes including performance planning, review and measurement, communication, resources, leadership commitment and organizational culture, which are assumed to be critical in the successful PMS implementation and the responses were summarized in the tables below.

4.3.1 Planning Process

Working hypothesis 4: There is no compliance with PMS processes in the MTI.

Table 4.6: Responses on involvement in the planning process

Process	Mean	Std. Deviation
1.1 Understand vision and mission	2.44	1.355
1.2 Strategic plan done	1.56	.794
1.3 Knowledge of stakeholders	2.00	.491
1.4 Planning process involves stakeholders	2.39	1.130
1.5 Departmental plan prepared annually	4.29	.645
1.6 Departmental plan linked to the budget	3.71	.811
1.7 Divisional plan done	3.93	.785
1.8 Individual PDP prepared and agreed with supervisor	3.53	.796
1.9 Guidance provided at planning and during implementation	3.86	.798
1.10 Involvement in the planning process	3.61	.965
1.11 Objectives for financial year known	3.86	.860
1.12 Individual objectives aligned with Organizational strategy	4.10	.845
1.13 Co-ordination of activities done	3.47	1.072
1.14 PMS promotes team work	3.27	1.112
1.15 PMS have improved employee performance	3.41	1.002
1.16 PMS has resulted in competition among employees	3.98	.754
1.17 Possession of relevant competencies	3.64	.905
1.18 Understanding of the BSC and perspectives	3.68	1.008

The above table shows the distribution of the employees' understanding of the planning process comprising the strategic issues in the PMS implementation process (see questionnaire items 1.1-1.18).

From the results above, respondents below the average (2.44) indicated that they did not understand the vision and mission of the organization. These might be the employees who joined the MTI after PMS implementation and expectations are that new employees should be oriented on PMS.

From the focus group discussions, the senior management teams (SMTs) explained that planning is done across all the organizational echelons and that all the employees prepare performance and development plans (PDPs) at the beginning of every financial year. The SMTs further highlighted that the vision, mission and values are also visibly displayed in the foyers, entrances and in offices so that employees should know them. The performance standards were said to be also displayed and available on the Ministry website so that customers and employees should know what to expect in terms of MTI service delivery.

4.3.2 Performance Review

Table 4.7: Responses on performance measurement

Review aspects	Mean	Std. Deviation
2.1 Understand performance measurement used	3.59	1.069
2.2 Understand review objectives	3.46	1.023
2.3 Review fairly and objectively done	2.85	1.297
2.4 Receive regular feedback on performance	1.90	1.335
2.5 Rewards menu implemented	3.76	1.008
2.6 Merit-based promotion	3.78	0.832
2.7 Training and development linked to performance	3.53	0.935
2.8 Review done confidentially	3.15	1.201

Note: N=59, Mean=3.25, S.D. =1.097

The above table presents the respondents views on performance measurement, how it is done and why it is done. The results indicate that the respondents understand the measurement performance measurement used. The results also indicate that the review objectives are clear to the respondents, although receiving regular feedback on their performance is below 2.5. From the results, it is evident that the employees understand the review process and why it is done because most of the aspects are above 2.5 on a scale of 1-5, which is the midpoint.

The focus group discussions revealed that performance is reviewed quarterly where the employees and the supervisors meet to discuss individual achievements and performance gaps. The SMTs also indicated that there are

monthly group reviews for the departmental senior managers comprising the Directors and Heads of functional divisions.

4.3.3 Communication

Working hypothesis 3: Communication is not adequately done in the MTI.

Table 4.8: Responses on communication

Response	Frequency	Percentage
Yes	32	54.2
No	27	45.8
Total	59	100

Table 4.6 above shows the respondents' views on the communication process in the MTI. The results show that communication regarding PMS is done as indicated by 54.2% (Yes) of the respondents, 45.8% (No) indicate that there is no communication. The MTI is challenged with ensuring that communication is done at all organizational levels for the achievement of set objectives. The assumption is that transparency concerning PMS might be lacking in some areas in the MTI such that employees might not be well informed.

From the focus group discussions, it emerged that there is communication because new employees are sensitized on PMS and that the PIC cascades PMS to the departments through workshops. It was also highlighted that the communication strategy has been drawn at ministry level and that the departments should adopt, internalize and customize it according to their respective mandates. The participants further said that there are mechanisms in place to sensitize stakeholders and customers on the services available to them. The outreach programs like "operation *metlhala ya khumo*", kgotla meetings and consumer fairs are the communication mechanisms.

4.3.4 Resource Allocation

Table 4.9: Responses on resource allocation

	Mean	Std. Deviation
1. There is adequate staff	1.49	0.774
2. Funding is adequate	1.44	0.623
3. Transport is adequate	1.45	0.680
4. Office space is inadequate	2.05	2.715

Note: N=59 Mean= 1.6 S.D. =1.1

The results indicate that the resources are inadequate in the MTI, especially staff, funds and transport. The results are lower than 2.5 on a scale of 1-5. The respondents were the employees who do the actual job and are met with such challenges.

From the focus group interviews, the SMTs indicated that the resources ceilings are determined elsewhere and that they only have control over what has been allocated to their respective departments. The Ministry has to operate within the stringent budget which, in a nutshell, calls for prioritizing of objectives. The participants further indicated that the resources are allocated by people who are not on the ground and do not have an actual feel of what is happening.

4.3.5 Leadership

Working hypothesis 2: There is inadequate leadership commitment towards PMS implementation.

Table 4.10: Responses on leadership commitment

	Mean	Std. Deviation
1. Commitment to PMS	2.76	1.264
2. Receptive to change	2.76	1.150
3. Understand PMS	3.00	1.287
4. Possess necessary skills	3.41	1.353
5. Bureaucratic	3.08	1.250

Note: N=59 Mean =3.00 S.D. =1.261

The above table indicates the results on leadership commitment to PMS. The respondents indicated that the leadership possesses the necessary skills, are committed to, and understand PMS, as well as being receptive to change. Although the leadership is said to possess the qualities needed for successful PMS implementation, there is an indication that they are highly bureaucratic and this can stifle performance.

4.3.6 Organizational Culture

Table 4.11: Responses on Organizational Culture

Aspects on culture	Mean	Std. Deviation
1. Visible management	2.54	1.134
2. Results-oriented	2.98	1.058
3. Supervise an older person	3.15	1.127
4. Equate job with salary	3.36	1.171
5. Cannot complain if not satisfied	3.20	1.111

Note: N=59

Aggregate mean=3.05, S.D=1.120

The results indicate that the MTI is results-oriented (2.98 on a scale of 1-5). The culture in the MTI is highly placed as revealed by the mean which is above 2.5 on a scale of 1-5. The respondents agreed that they do not complain if not satisfied. They indicated that fear of being victimized and straining relationships are the reason why they do not complain if not satisfied (item 5). Fear can impact negatively on performance and the MTI is challenged with maintaining an open-door policy.

From the focus group discussions, it emerged that the traditional culture affects performance in that one cannot complain if not satisfied for fear of straining relationships and/or being bewitched. It was also indicated that in some instances, a younger manager cannot tell an older subordinate that he/she is not performing. From the discussions, it was also mentioned that the organizational culture is sometimes not emphasized and that might be the reason why some respondents either did not know or disagreed with being results-oriented.

4.3.7 PMS relevance in the MTI

Table 4.12: Responses on PMS relevance

Response	Frequency	Percentage
Yes	32	54.2
No	27	45.8
Total	59	100

Table 4.10 above shows the responses on the relevance of PMS in the MTI. The results show that 54.2% (YES) of the respondents highlight that PMS is still relevant in the MTI. The assumption is that either the employees need to be re-oriented on the importance of PMS and why it was introduced in the public sector, or the strategic plan needs to be reviewed for the vision and mission to be relived. However, 45.8% (NO) of the respondents indicated that PMS is no longer relevant. On further elaboration, the respondents who agreed that PMS is still relevant highlighted that the reform is a global trend and that the MTI as an organ of the state cannot be left out but should go along with the winds of change as required by the government.

From the focus group discussions, it emerged that PMS is still relevant to the MTI because employees now see and understand their purpose in the organization. They also know what their job expectations are because PDPs are prepared, there is regular feedback and some initiatives towards performance improvement are suggested by the employees through WITs projects. Furthermore, PMS is a public sector reform and it is there to stay, what needs to be done is to ensure its sustainability.

4.3.8 PMS and its linkages

Table 4.13: Responses on balanced attention to PMS and Linkages

Response	Frequency	Percentages
Yes	30	50.8
No	29	49.2
Total	59	100

The above table shows the responses on balanced attention to PMS and its linkages in the MTI.

For PMS to be effective, balanced attention should be given to its linkages. The initiatives include Work Improvement Teams (WITs), Computerization of Personnel Management Systems (CPSM) and Performance Based Reward System (PBRS). All these are aimed at improving efficiency and effectiveness in the public sector (Joina, 2007; Tsonope, 2007).

The results in Table 4.11 indicate that the majority of the respondents, 50.8% agreed that there is balanced attention between PMS and its linkages. The respondents further said that WITs strategy is used as a problem-solving initiative while PBRS is the implementation stage, and process re-engineering is the evaluation of the processes and the system for identifying gaps and eliminating wastage of resources in terms of finance, personnel and time.

From the results, 49.2% indicated that there is imbalanced attention and these might be the employees who have not yet been sensitized on some of the initiatives because they might be newly employed and did not understand what the initiatives are all about.

The focus group discussions highlighted that balanced attention is given to PMS and its linkages because there are WITs in the MTI and that what needs to be done is to take all the employees aboard so that they could “walk the talk”.

4.3.9 Employee empowerment

Table 4.14: Responses on employee empowerment

Response	Frequency	Percentage
Yes	30	50.8
No	29	49.2
Total	59	100

The data indicate that 50.8% of the employees in the MTI said that they are empowered to take responsibility of their actions and 49.2% said that they are not empowered. Management should ensure employee empowerment so that performance can be enhanced and the ministry mandate achieved. Lack of, or inadequate, employee empowerment might be attributed to bureaucracy that is inherent in the public service because the respondents who indicated that they were not empowered highlighted that they still had to be instructed by their supervisors to take some actions.

4.3.10 Support amongst departments

Table 4.15: Responses on support amongst the MTI departments

Response	Frequency	Percentage
Yes	35	59.3
No	24	40.7
Total	59	100

Since MTI departments are working towards achieving the same goal, support amongst them can be a milestone achievement. The departments can do that by sharing resources like transport and expertise.

59.3% of the respondents agreed there is inter-departmental support, and 40.7% said it is not there. The respondents who indicated that inter-departmental support was lacking might be the employees who do not know the mandates of their sister departments or the departmental inter-relationships.

The focus group discussions also revealed that indeed there is support among the MTI departments. The cited example was when workshops were conducted, where expertise is sourced from other departments.

4.3.11 The Balanced Scorecard

The BSC was introduced in the MTI in 2004 and the executives were trained in its use as a planning and monitoring tool. It was later cascaded to the middle management by the Performance Improvement Co-ordinator. The senior managers now use the BSC and strategy maps to draw their APPs which in turn support that of the Permanent Secretary who is the CEO for the MTI.

From the data (1.18 in the planning process summary), most of the employees (3.68 on a scale of 1-5) said that they understood the BSC and its perspectives. This is an indication that management has cascaded the BSC to the lower level employees.

From the focus group discussions, the BSC is said to be the implementation stage of PMS and that the four perspectives were taken into account when planning, especially

customer and financial perspective. The SMTs further highlighted that initially the perception was that the financial perspective would be more relevant in the private sector only to realize that since departments operate within stipulated budgets, they have to account for the usage of the financial resources.

4.4 Objective 2: To identify the PMS constraints/challenges

The respondents were asked to identify the constraints and/challenges met in the implementation of PMS in the MTI. The respondents identified the constraints as indicated in the figure below.

Question 12: What constraints do you experience regarding PMS implementation?

The SMTs discussed the constraints and /or challenges they came across in implementing PMS and results are presented in the table below.

Table 4.16: PMS constraints/challenges

Themes	Sub-themes	Verbatim examples
Measurement system	Standardization (performance review, objectives) Feedback	<ol style="list-style-type: none"> 1. "Performance review is not standardized, leading to disgruntlement amongst some employees." 2. "Feedback is really not hitting the right nerve because people still lose direction in some instances."
Resources	Manpower (brain drain, skills gap, divided attention) Reforms fatigue (numerous changes) Time constraints	<ol style="list-style-type: none"> 1. "People who were trained in PMS have left the organization for greener pastures." 2. "There are 'galloping' changes in the reforms and people are not given enough time to understand." i.e. There is one reform after the other. 3. "There is a lot of 'rushing through' the activities although work-related resulting in not achieving in time." 4. "Too much time is spent in meetings." 5. "Numerous new initiatives put a lot of strain on the already limited human resource."
Human error	Subjectivity (strict versus lenient supervisors). Support (coaching, mentoring)	<ol style="list-style-type: none"> 1. "Officers/employees are rated differently for similar objectives." 2. "Some supervisors do not give their subordinates enough support."
Structure	Alignment, bureaucracy	<ol style="list-style-type: none"> 1. "Local authorities are not aligned with the central government although they serve the same customer."

The above table indicates the response on the PMS constraints as identified by the focus group participants.

It was also highlighted that there is lack of baseline data from which the comparisons can be started or based. The measurement of the bigger picture or the impact was also said to be lacking.

4.5 Objective 3: To establish the PMS achievements

The respondents were asked the benefits /achievements of the implementation of PMS to the MTI.

Question 11: Since PMS implementation, are there any notable improvements?

The participants were asked if there was any evidence of improvement since PMS implementation and some of the verbatim responses are tabulated below.

Table 4.17 PMS improvements

Theme	Sub-themes	Verbatim examples
Improvement	Public complaints, expectations(focus, accountability), impact International best practices (ISO 9000)	<ol style="list-style-type: none"> 1. "There is now limited hue and cry from the public although there is still a problem with the measurement of impact." 2. "We do not have baseline data." 3. "There is need for benchmarking." 4. "There is also Business Process Re-engineering (BPR) to improve performance."
Feedback	Monitoring Meetings (stakeholders)	<ol style="list-style-type: none"> 1. "There is regular feedback between supervisor and supervisee." 2. "There is also feedback from stakeholders through meetings." 3. "The Copyright and Intellectual Property Committee helps ROCIP to monitor."

4.6 Objective 4 : To explore MTI compliance with the PMS requirements

The participants were also asked if the MTI complied with the PMS requirements and the responses are tabulated below.

Table 4.18 Compliance with PMS requirements

Themes	Sub-themes	Verbatim examples
Knowledge	Training, attitude,	<ol style="list-style-type: none"> 1. "Employees have been trained on the reform and new ones are also trained" 2. "...but there are times when employees do not take the reform seriously because they know that with or without, a mark will be allocated to me and I will progress." 3. "Some employees are disgruntled because non-deserving employees awarded high marks."

The above table indicates what the focus group participants indicated on the compliance with the PMS requirements.

4.7 Chapter summary

The chapter presented the findings on the variables critical for the effective implementation of PMs in the MTI. The variables include planning, performance measurement, leadership, resources and organizational culture. The data was presented in tables and pie charts for ease of interpretation.

The next chapter presents the discussions of findings, conclusions and recommendations.

CHAPTER FIVE

DISCUSSION OF FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

5.0 Introduction

This chapter presents and discusses the findings of the study by reflecting on the objectives below. Subsequently, conclusions and recommendations based on the findings are made.

5.1 Discussion of findings

5.1.1 Objective 1: To evaluate the PMS implementation processes.

Working hypothesis 1: The MTI is not following the planning processes.

Planning

The PMS implementation process should start with the planning phase whereby the organizational strategy is articulated to the employees, customers and stakeholders. This is the stage where Ministry, departmental, divisional and individual PDPs are prepared (Du Plessis, 2005). The planning phase is critical in that objectives should be defined and targets set as well as strategies for achieving those objectives.

From the results in table 4.4 page 62, it emerged that the planning processes are followed in the MTI. Although the planning processes are followed in the MTI, employees do not seem to fully understand the vision and mission of the organization.

Stakeholder participation is another area where the MTI should pay particular attention because stakeholders are the recipients of the service and they are the tax-payers. It should therefore be incumbent upon the MTI to involve the stakeholders so that the relevant programs and policies are drawn to satisfy their needs.

Performance Review

The results in Table 2 indicate that performance is reviewed in the MTI and the focus groups also indicated that the review is done quarterly. Although the results indicate that performance is reviewed in the MTI, there should be feedback on performance so that employees can know their shortfall. From the focus group discussions, it emerged that some supervisors are not giving support to their subordinates. This is contrary to PMS requirements because employees should be mentored and coached, and where possible trained on the identified skills gap (Du Plessis, 2005).

Communication

Working hypothesis 2: Communication is inadequately done in the MTI.

There seem to be lack of transparency in some areas in the MTI as indicated by some employees (45.8%), refer to Table 4.6 page 65. Management should understand that communication is a key aspect to any organizational success and that knowledge is power. When there is transparency, employees know the expectations and easily align to the organizational objectives (Joina, 2007).

Resources Allocation

The resources are important in enabling the organization to execute its strategy for meeting the customer needs. The resources can be financial, human and materials. From the results, it is evident that there are inadequate resources in the MTI. The MTI should link their budget with the resources because there might be some element of under-budgeting. When budgeting, the MTI should consider the use of the BSC because it will integrate both accounting information and other performance indicators like customer satisfaction and employee competencies, which can influence future performance (Verzola, Bentivegna, Carandina, Trevisani, Gregorio & Mandini, 2009).

5.1.2 Objective 2: To identify PMS implementation constraints/challenges

Public sector performance management system is riddled with a lot of challenges in that the reform is viewed as a private sector initiative. The limited resources within which the MTI has to deliver its mandate puts strain on the management and this calls for stringent measures so that targets can be met (Richardson, n.d).

From the focus group discussions, the SMTs indicated that objectives are not standardized, resulting in flawed measures, especially the qualitative objectives which are not easy to measure and take time to be achieved. An example was given where one employee has to revive a co-operative society and another one is conducting an audit. The measure for the audit is tangible because an audit report would be produced as performance evidence but for the revival which takes time to achieve, it will be difficult to show anything tangible in a shorter space of time and revival is in itself difficult to measure (Crandon & Merchant in Joina, 2007).

It is still vital to have performance measures because there is need to improve both effectiveness and efficiency in the public sector despite the scarce resources, and it is easier to manage what you can measure. In addition to that, measures provide organizations with the basis for planning and strategy implementation. The customer perspective of the BSC should therefore be greatly considered because customers are

the reason why the public sector exists and the impact of the service should be measured as opposed to the output (Mwara & Zairi, 2009).

Brain drain is inherent in the public service and the MTI has not been spared. Most people who have been trained on PMS have left the MTI for 'greener pastures' elsewhere. This makes it difficult for continuity because the government, MTI included, is now a training ground for skills poaching. Effective PMS implementation enhances team work and talent management, resulting in employee satisfaction which in turn leads to employee retention, customer satisfaction and increased productivity levels (Symanowitz, 2009; Tsonope, 2007).

The non-alignment of the local authorities and the central government structures at the districts also pose a challenge to effective performance because at district level it is the District Commissioner who oversees all the district activities and yet the central government employees are supervised from headquarters in Gaborone, although the customer is at the district. The silo mentality still exists amongst departments at the districts in that service delivery is not coordinated although it is meant for the same customer. If properly managed, resources could be shared and savings made.

The SMTs further brought to light the different judgments of individual supervisors in that some are strict while others are lenient in rating their subordinates. This has often led to unfair/dysfunctional rewards because the lenient supervisors award high grades, thereby disadvantaging employees with a strict supervisor. The element of subjectivity still exists in performance measurement so long as supervisors are not trained in performance measurement and review (Kelly, Ang, Chong & Hu, 2007).

Resistance to change is also identified as another impediment to performance in that the PMS drivers are either not receptive or they do not like the initiative. Since the PMS drivers are the SMTs, it is difficult for the reforms officers to flex their muscle because they are junior officers and fear victimization by their principals who have given them that responsibility.

The reforms officers' lack of necessary competencies like administration skills and relationship management hinders effective PMS implementation in the MTI. It is imperative to empower employees with the relevant skills and competencies so that they can effectively execute their duties without fear or doubt.

According to Kelly *et al* (2007), good performance should be rewarded and non/poor performance should be punished and there should be trust between the supervisor and the supervisee. The MTI should therefore reward good performance and punish non/poor performance. The focus group discussions revealed that MTI gives dysfunctional rewards in that undeserving officers are promoted and that no action is taken towards officers who are under-performing. To add on to that, the rewards menu

is not implemented as per the guidelines, so employees do not see the reason why they should be stars in their performance because they are not motivated (IDM Consortium, 2006).

Training on the skills gaps identified was said to be slow due to bureaucracy and the nature of work in some departments. It also emerged that the training plan was not linked to skills gaps identified during the quarterly reviews.

The galloping changes lead to reforms fatigue, putting a lot of strain and confusion on employee performance because the initiatives are implemented one after the other before the employees could fully understand the previous one.

5.1.3 Objective 3: To establish the benefits of PMS in the MTI

An effectively implemented PMS usually benefits the organization, employees as well as customers and stakeholders. The benefits are usually envisaged at the beginning of the process and act as a benchmark for progress and achievement of the intended outcomes because for any plan to be effective, the end or the outcome should be in the minds of the planners (Joina, 2007).

The data collected from the MTI revealed that indeed PMS implementation has benefited the ministry in a number of ways. The benefits as highlighted include the following:

- Ministry and department strategic plans are prepared from which annual plans for the ministry, departments and individual PDPs are developed. The preparation of plans has resulted in more focused performance because there are plans to follow and implement as well as objectives and targets to meet.
- The ministry together with the departments is able to reflect on their plans and ask questions like, "Do we have the real measures?" Are we measuring the right objectives?" (Focus group discussion with Department of Trade and Consumer Affairs, 24 September, 2009).
- There is role clarity because the employees now know and understand their purpose in the organization and they see the reasons for going to work. The employees now have objectives that should be achieved within the set timelines and they are now more focused and results-oriented. It is further highlighted that there is regular feedback between supervisors and employees leading to continuous improvement. Individuals are now making initiatives for performance improvement through WITs and other fora as compared to the pre-PMS era.
- Processes have been improved and re-engineered and recognized by ISO 9000. For instance it now takes five days as opposed to three months to register a company, legislation is being reviewed to take into account the latest trends,

systems are computerized to speed up service delivery, fraud has been greatly reduced and monitoring has been enhanced (Focus group discussion with the Registrar of Companies and Intellectual Property: 06 October, 2009).

- There is improved feedback from customers and stakeholders in that there are meetings, road shows and the toll-free number popularly known as the 800 number has been established for people to call the MTI for any clarification on the services offered or complain if they are not happy.

5.1.4. Objective 4: To explore compliance with the PMS processes

PMS as a cycle requires that there should be planning, implementation, measurement and action. The findings indicate that there is compliance with the PMS processes. It has emerged that indeed planning is done at the MTI and that the individual, team and organizational plans are aligned with Vision 2016. The Implementation process has also been complied with where individuals have to perform according to their set objectives and the Performance Based Reward System has been introduced in the MTI to ensure that every employee should have a role to play.

5.2 Recommendations

Objective 5: To make recommendations for the successful PMS implementation in the MTI.

5.2.1 Planning

Leadership should ensure that the employees understand the vision and mission of the organization. Employee understanding of the vision and mission will result in the buy-in to the organizational strategy and a shared vision will be achieved (Joina, 2007). As the basis for the strategic plan, the vision drives change by clarifying the road map and helping the employees to stay focused as observed by Smit and Cronje (in Blackbeard, 2005). In the same vein, Pearson and Robinson (in Blackbeard, 2005) observe that the mission enables the employees to define the business/ service their organization is engaged in, and know the customers that they serve, as well as the technological and/or staff capabilities. They further highlight that a clearly defined mission statement is a basis for resources allocation and sets the boundaries within which decisions should be based.

Stakeholders should also be involved in the planning process to incorporate their input in the plans, programs and policies to better satisfy their needs as the tax-payers. Mechanisms should also be put in place for illiterate customers and stakeholders to understand what the MTI has on offer for them.

5.2.2 Standardization

The objectives should be standardized so that the measurement could be fair across the organization. The standardized objectives will also result in well-defined measures.

5.2.3 Training

Leadership

There is also need for leadership training on the measurement and target setting process to minimize human error and /or subjectivity. The performance measurement should be as objective as possible and should not be overshadowed by the cultural or social status of the employees. Professionalism should prevail in any organizational setup so that effective PMS implementation can be possible.

Tsonope (2007) observes that leadership should be trained on change management, especially on the soft aspects of the McKinsey 7Ss, so that they can take their subordinates through the transition process for successful PMS implementation. The MTI should also train the leadership in talent management so that they can be able to retain the human resource that the most critical for any organizational success (Symanowitz, 2009).

Employees

Organizations are more focused on administration, which involves the operating systems and processes, than on the performers and their skills. It is imperative that organizations identify the performance gaps and take necessary action to fill them. Employee empowerment is an ingredient for success and involving them in building the organization is crucial, so that they can take responsibility for their actions, and have shared vision and ownership of that organization Gerson(in Joina, 2007).

Employees should be trained on the reforms and where possible, there should be refresher workshops on PMS to avoid backsliding. The training plan should also be linked to the skills gaps identified during the performance review so that employees can effectively execute their duties as opposed to the current scenario whereby they have to wait their turn. There is also need to train employees on team-building, problem-solving and decision-making skills for continuous improvement and an understanding that failure in one department leads to a reduced customer value chain (Tsonope, 2007).

Employees should understand that departments are segments or parts of the MTI and the ministry should be seen as a system such that when one segment is paralyzed, the customer value chain becomes dysfunctional. In realizing that the MTI is a system, the employees will be empowered to grow out of finger pointing and self-defence towards a shared vision (Joina, 2007).

The MTI should train the middle managers to become 360° leaders who can manage and influence employees across all the organizational echelons (Maxwell, 2005). These managers will be able to make things happen and make a contribution towards organizational success.

The reforms desk officers should also be adequately trained so that in the event the PIC leaves for “greener pastures” or is redeployed, there should be continuity. They should also be focused on the reforms without being burdened by additional duties. By staying focused, the reforms desk officers will be able to do continuous research and benchmarking to keep pace with the new trends.

5.2.4 Communication

Information Communication Technology (ICT) should be enhanced in the MTI, especially in the outstations so that the employees can access the internet and find information without referring to headquarters which might be time consuming and cause delay in serving the customer. There is also a need for networking so that information can be accessed at the push of a button. The MTI should have a data bank where data can be easily accessed for making rational decisions, especially the baseline data upon which comparisons and projections can be made. Employees should also be trained in Information Communication Technology (ICT) so that they can speedily access information and serve the customers (Moroka, 2009).

It should be borne in mind that information does not come cheap though, and the MTI needs to invest in ICT for effective and efficient service delivery. To emphasize the importance of information, Evernden (in Pejanovic, 2006:1) highlights that, “information is often treated as if it were as free as the air that we breathe and it comes as a shock if we have to pay for it or if someone gets proprietorial and refuses to give the information that we ask for.”

Management should open up the communication channels and give employees continuous feedback on PMS implementation progress for positive reinforcement (Tsonope, 2007). Employees will be able to come up with suggestions for improvement because they are the policy implementers dealing with customers on a daily basis.

5.2.5 Relationship management

There is need for relationship management in the MTI so that employees understand their role and the inter-relation of the different tasks in the organization.

5.2.6 Rewards/Recognition

Gerson (in Joina, 2007) states that people would either approach or avoid a task depending on the internal criteria best known to themselves as influenced by the factors

like rewards, incentives and enforcements. These are factors known to motivate employees through recognition for better performance or reward. Hacker et al (1999) also contend that people will always do what needs to be done as long as their contributions, energies and aspirations are acknowledged, rewarded and celebrated.

The MTI should therefore implement the rewards menu as stipulated by the guidelines. A thirteenth cheque should be introduced in the MTI so that the employees can be motivated. The non-performers should also be punished for their poor performance because the good performers will avoid tasks because they are discouraged by the dysfunctional rewards where non-performers are not penalized.

5.2.7 Talent management

The MTI should practice talent management as a retention strategy. When employees are recognized, they develop a sense of belonging, become motivated and stay in the organization (Tsonope, 2007).

For an effective talent management, the MTI requires the 4Rs, that is, the right people with the right skills, knowledge and attitude, in the right roles at the right time. The 4Rs will be dependent on the organizational culture, priorities and focus areas (Symanowitz, 2009). The MTI should have holistic and integrated approaches to succeed in talent management, bearing in mind that people are a critical resource for strategy execution.

5.2.8 Benchmarking

There is need for benchmarking so that the international best practices can be adopted. Continuous business process re-engineering and auditing is also needed to keep in step with the global changes. The MTI management can do so by attending workshops and visiting other organizations to see how they implement and sustain PMS.

5.2.9 Total Quality Management (TQM)

The MTI should adopt the TQM approach whereby continuous improvement by consistently exceeding the current and future customer expectations is the order of the day. The MTI should also have a quality management committee comprising of heads of departments and chaired by the permanent secretary (Evans & Bellamy, 1995; Tsonope, 2007).

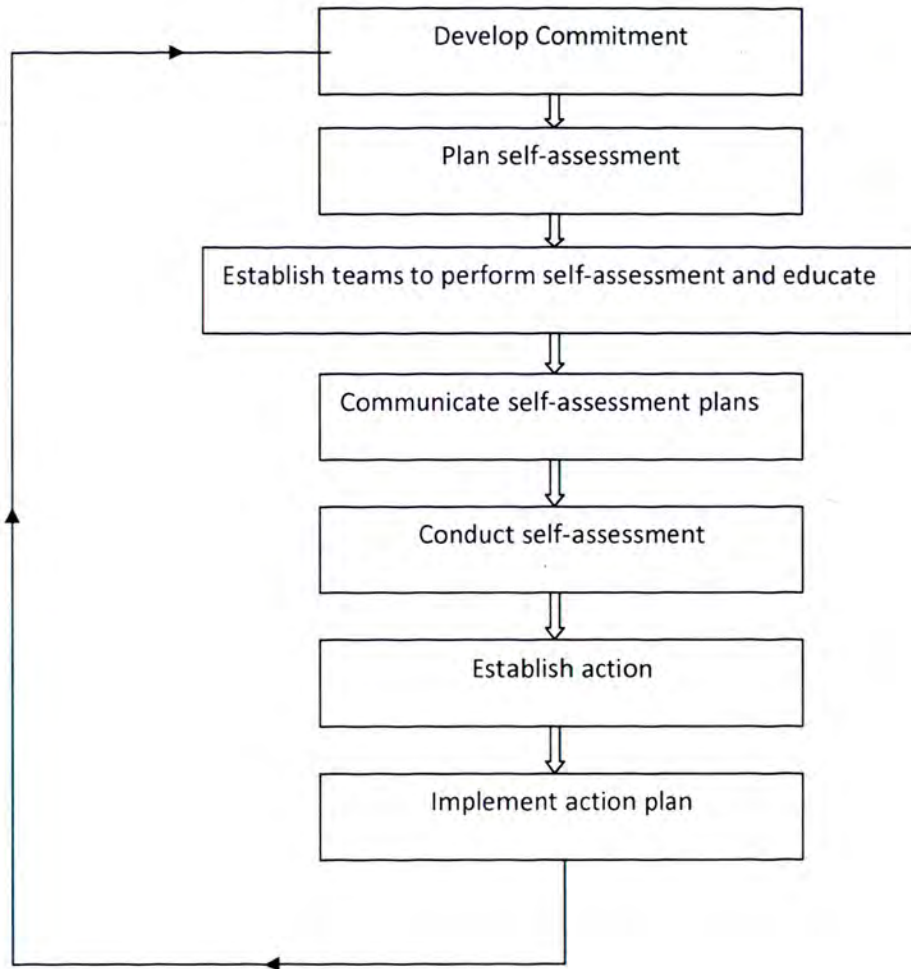
5.2.10 Customer satisfaction survey

There is need for all the MTI departments to undertake a customer satisfaction survey to gauge how well they are serving their customers. The customer satisfaction survey of 2006 indicated that the satisfaction level of public service delivery was 25% (BPRU, n.d.), therefore the MTI should establish whether there has been improvement or not.

5.2.11 Self Assessment

The MTI should make a self audit for continuous improvement. Hides et. al (in Tsonope, 2007) suggest the eight steps as follows:

Figure 5.1: Critical steps in self-assessment



Tsonope (2007:85)

5.3 Conclusion

Main hypothesis: The Ministry of Trade and Industry in the Republic of Botswana is not effectively implementing PMS.

5.3.1 Service Delivery

Performance management system should be viewed as a process that can benefit the organization, employees, customers and stakeholders if properly implemented. The Botswana government took cognizance of this fact and invested in reform for effective and efficient service delivery.

The implementation of PMS in the MTI has produced visible results because departments now prepare annual plans from which employees develop their PDPs. The quarterly performance reviews are done to see how far employees have gone with their objectives. There is improved service delivery because departments like the ROCIP have re-engineered their processes and now register a company within 5 days as opposed to the previous 30 days (Focus group discussion, 13 October 2009). The DCD re-engineered their audit to establish the causes of the delay and some services have been decentralized to better serve the customers (Workshop attended January 2009).

5.3.2 The use of ICT

The MTI has computerized its offices and some services to speed up service delivery. Access to the internet and e-mail is still lagging behind in some outstations but plans are at an advanced stage to avail the services to the employees in the outstations.

5.3.3 Other initiatives

The implementation of other initiatives like WITs is also taken aboard. The MTI has teams and some of them participate in both the mini and national conventions. Though there are work improvement teams, there is still need to revive the spirit and conduct awareness workshops, especially in the outstations.

In the nutshell, the Implementation of PMS in the MTI is effective although there are some areas lagging behind, especially the defining of the desired outcomes or the impact of the service delivered on the recipients so as to standardize the objectives and measurement system.

5.4 Suggestions for further research

There is a need to establish if the implementation of PMS is customer focused and to define the outcomes and measures.

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16 March 2009

TO WHOM IT MAY CONCERN

Dear Sir/Madam

RE: RESEARCH INFORMATION

Kopano C. Mukono is a registered student with the Department of Management, North West University, South Africa. She is pursuing a Masters of Commerce degree by research. Her tentative topic for research is: Public Sector Employee Performance Management: A case of the Ministry of Trade and Industry, Botswana.

Any assistance to this end will be highly appreciated.

Regards,

A handwritten signature in black ink, appearing to read 'S. O. Migiro', written over a horizontal line.

Prof. S. O. Migiro

P. O. Box 502432

Gaborone.

4th September 2009

The Director

Department of Ministry Management

Gaborone

Dear Sir/Madam,

RE: FOCUS GROUP INTERVIEW

I am kindly requesting for a group interview with your Senior Management Team on the 6th October 2009 at 0900hrs. I am currently pursuing a Masters Degree in Commerce by full dissertation at the University of North West Mafikeng Campus and my interest area is on Performance Management System.

Attached is the letter from the institution for your confirmation. For any clarifications please contact me at these numbers, 00267 71653075/0027 794314873.

I will be grateful for your usual assistance.

Yours faithfully,

Kopano Cynthia Mukono (Ms)

Appendix III

Dear Respondent,

The purpose of this questionnaire is to collect information that will assist in coming up with conclusions regarding the effectiveness and sustainability of Performance Management System, in the Ministry of Trade and Industry.

Please note that the following conditions will strictly be adhered to during the data collection process:

1. All the information will be treated in strictest confidentiality
2. The information will not be used for any other purpose except for this study
3. No individual names will be mentioned and the research report will be authored in such a manner that no information or phrase will be linked or traced to any individual.

Please place a tick () where necessary will appreciate it if you could complete all the questions and return the document not later than the 24th September 2009.

Thank you for your valued appreciation and opinion. Please feel free to contact me at +267 71653075/ +267 72654665/ +27 794314873 for any queries and clarifications.

Thank you.

Kopano C. Mukono (Ms)

Section A: Demographics

Department.....

Position.....

Length of Service.....

Gender.....

Age.....

Section B: PMS processes

When was PMS implemented in your Department?

.....

Section B1. Planning

To what extent do you agree with the following statements?

	Strongly Disagree	Disagree	Do not know	Agree	Strongly Agree
1.1 Understand vision and mission					
1.2 Strategic plan done					
1.3 Knowledge of stakeholders					
1.4 Planning process involves stakeholders					
1.5 Departmental plan prepared annually					
1.6 Departmental plan linked to the budget					
1.7 Divisional plan done					
1.8 Individual PDP prepared and agreed with supervisor					
1.9 Guidance provided at planning and during implementation					
1.10 Involvement in the planning process					
1.11 Objectives for financial year known					
1.12 Individual objectives aligned with Organizational strategy					
1.13 Co-ordination of activities done					
1.14 PMS promotes team work					
1.15 PMS have improved employee performance					
1.16 PMS has resulted in competition among employees					
1.17 Possession of relevant competencies					
1.18 Understanding of the BSC and perspectives					

Please elaborate on the above

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Section B2 Performance Review

How often is performance review conducted in your department and how is it done?

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To what extent do you agree with the following?

	Strongly Disagree	Disagree	Do not Know	Agree	Strongly Agree
2.1 Understand performance measurement used					
2.2 Understand review objectives					
2.3 Review fairly and objectively done					
2.4 Receive regular feedback on performance					
2.5 Rewards menu implemented					
2.6 Merit-based promotion					
2.7 Training and development is linked to performance					
2.8 Review done confidentially					

Please give more information on the above

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Section C: Communication

C1. How prepared were you at PMS implementation?

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C2. Was PMS well communicated to the lower level employees?

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C3 Does your supervisor clearly communicate what is expected of you?

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.....

C4. Would you say your employer clearly defines your job responsibilities and encourage high performance levels?

Yes/No



Section D: Resources

To what extent do you agree with the following?

	Strongly Disagree	Disagree	Do not know	Agree	Strongly Agree
1. There is adequate staff					
2. Funding is adequate					
3. Transport is adequate					
4. Office space is inadequate					

Please elaborate on the above.....

Section E: Leadership

What is your view on the following?

	Very Low	Low	Do not Know	High	Very High
1. Commitment to PMS					
2. Receptive to change					
3. Understand PMS					
4. Possess necessary skills					
5. Bureaucratic					

Please elaborate on the above

.....

Section F: Culture

To what extent do you agree with the following?

	Strongly Disagree	Disagree	Do not know	Agree	Strongly Agree
1. Visible management					
2. Results oriented					
3. Supervise an older person					
4. Equate job with salary					
5. Cannot complain if not satisfied					

Please elaborate on the above

.....

Is PMS still relevant in the MTI? Yes / No

Please elaborate

.....

Is balanced attention given to PMS and its linkages, that is PBRs, WITs and the BSC?
 Yes / No

Please elaborate

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How empowered are you in taking responsibility for your actions?

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What are the PMS implementation constraints?

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Is there support from/ amongst departments in the MTI?

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What suggestions can you make for the improvement of PMS in the MTI?

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Appendix IV

Interview Questions for the Focus Group (Senior Management Teams)

1. When and how was performance management system implemented in your department?
2. Prior to PMS implementation, how was performance managed and measured?
3. Were there any gaps in the system used then?
4. How is performance measurement done in your organization and what feedback do you get from that?
5. What mechanisms do you have for recognizing excellent individual performance or a poorly performing employee?
6. Are the employees well conversant with the PMS requirements?
7. What communication strategy regarding PMS do you employ in your organization?
8. Is there alignment between individual, team and organizational objectives with the Vision 2016?
9. How is the Balanced Scorecard related to PMS?
10. How does Setswana culture affect performance?
11. Since PMS implementation, are there any notable improvements and what are those?
12. What constraints do you experience regarding PMS implementation?
13. How much control do you have over resource allocation?
14. What suggestions do you have regarding PMS improvement?

FOCUS GROUP DISCUSSIONS

Question 1: When and how was PMS implemented in your department?

Group 1- Department of Trade and Consumer Affairs

PMS was implemented in our department in 2003. It was started off with the training and sensitization of the senior management. Thereafter, a focal person/ desk officer was identified to work with the Ministerial PIC who facilitated PMS in the MTI.

Group 2- Department for Co-operative Development

PMS was implemented in our department in 2001. It was started off with sensitization of executives by a consultant from BNPC. Teams were selected to cascade PMS to the lower level employees and the departmental focal person/ desk officer was selected to deal with the Ministerial PIC. The departmental strategic plan was drawn, spelling out the vision, mission and the objectives.

Group 3- Department of International Trade

PMS was implemented in our department in 2003 when the department was established. The process was the same as in the Ministry where senior management were sensitized on the reform and alignment with the ministry done. PMS champions were trained and on the job training is done for the new comers.

Group 4- Registrar of Companies and Intellectual Property

PMS was implemented in the MTI in 2000. The Ministry management was trained by the consultants and the Reforms Unit from the Office of the President was involved in the training. Performance contracts were signed and there are quarterly reviews for every employee. There are also Departmental Productivity Improvement Committees (DPICs) and The Ministerial Productivity Improvement Committee (MPIC). Directors report to the Deputy Permanent Secretaries (DPS) and Heads of Divisions report to the Director.

Summary

Themes	Sub-themes	Verbatim examples
Implementation 2003 2001 2003 2000	Training, sensitization, facilitation Chain of command	<ol style="list-style-type: none"> 1. "It was started off with the training and sensitization of senior management." 2. "Teams were selected to cascade PMS to the lower level employees" 3. "PMS champions were trained and new comers are trained on the job"

Question 2: Prior to PMS, how was performance managed and measured?

Group 1

Performance appraisals were used but they were only filled in at the end of the year. Performance was managed but not standardized.

Group 2

The appraisals were only filled in at the end of the year and that was for salary increment purposes. There was performance management to a certain extent.

Group 3

Performance appraisals were filled in at the end of the year and it was based on the job descriptions.

Group 4

Performance appraisals were filled in at the end of the year and they covered personal attributes only.

Summary

Themes	Sub-themes	Verbatim examples
Performance measurement	Appraisal, subjectivity, job description	<ol style="list-style-type: none"> 1. "There was a lot of subjectivity in the appraisals." 2. "Performance appraisals covered personal attributes only and it was meant for salary increment."
Performance management	Standardization, job description	<ol style="list-style-type: none"> 1. "Performance was managed but not standardized." 2. "There was performance management to a certain extent."

Question 3: Were there any gaps in the systems used then?

Group 1

There were a lot of gaps in the systems used then. There were no set standards and the system was more on salary increment with no attachment to the objectives. The appraisal was more on personal attributes.

Group 2

There were deadlines attached to the appraisal system. The objectives as well as measurements were not clearly defined. Employees did not know their purpose in the organization, that is, they did not know why they were in the workplace.

Group 3

There were limitations in the previous appraisal systems because there was no direction and the employees did not understand what was expected of them. There was either limited or lack of support from supervisors. In case of limited support it was only given at the end of the year. Ownership was lacking on the part of employees in that people did not know why they had to do certain things. There were no set objectives, therefore no accountability. There was the recency effect and a lot of subjectivity in the previous appraisal system. Coaching and mentoring was not done, job descriptions did not have the flexibility of aligning with organizational objectives.

Group 4

The previous appraisal covered personal attributes only. There were no set objectives or targets and there was lack of clarity. The employees would not know of any problems until the end of the year and the system was highly subjective. There were no checkpoints for corrective action and some supervisors did the appraisals confidentially without discussing with the concerned employee.

Summary

Themes	Sub-themes	Verbatim examples
Objectives	Standardization, ownership, accountability	<ol style="list-style-type: none">1. "There was no direction and no deadlines were attached."2. "Ownership and accountability was lacking."3. "People did not know what was expected of them."
Measurement	Confidentiality	"There were no checkpoints for corrective action and some supervisors did the appraisals confidentially....."

Question 4: How is performance measurement done in your organization and what feedback do you get from that?

Group 1

Measurement is now guided by the objectives, especially the BSC which takes aboard the four perspectives. There is also re-engineering of processes, quality management where gaps are identified and improved upon. The processes are qualified by bodies like the Botswana Bureau of Standards (BOBS) to match the international practices. The processes are audited for alignment with the best international practices though not yet accredited. The financial perspective of the BSC is very relevant to the civil service because we work within budgets. PMS is about prioritizing and re-prioritizing of objectives because PMS is not rigid.

Feedback from performance measurement is identifying performance gaps where an employee will be given training on the identified skills gaps. The systems gaps are also identified. For instance, there is no standardization in performance measurement or rating system such that different supervisors rate their subordinates differently. Some supervisors are lenient while others are strict. The allocation of annual objectives per quarter is not defined such that an employee can meet all her/his performance objectives before the plan period but may not be rated an excellent performer depending on the type of supervisor that they have. Subjectivity still exists and rewards are not administered at department level.

Rewards are not fairly administered in that departments compete although they have different mandates. There are also some dysfunctional rewards where employees from different cadres compete for the same post, regardless of the length of service. This in itself leads to disgruntled employees.

The appointing board should have a standard procedure in considering employees for promotion. For instance, a driver would compete with a cleaner or messenger without due consideration of the length of service.

Group 2

The introduction of PMS has led to the drawing of strategic plans, departmental and individual APPs where objectives are drawn. The measures and timelines are set and quarterly reviews are done for monitoring progress on the set objectives. The organizational plan is linked to vision 2016 and quarterly reporting is done on the initiatives towards V2016. The introduction of PMS has greatly improved the

departmental performance. There is still need for improvement on the measurement and feedback because there is still some subjectivity of some sort. There is also a need to standardize the objectives.

Group 3

Objectives are well defined and agreed upon by both the supervisor and supervisee, with set objectives and timelines. Performance is measured against set objectives. There are quarterly reviews for identifying areas for improvement, continuous monitoring and evaluation of performance. Both supervisor and supervisee identify challenges hindering performance, be it resources or skills. Staff is now motivated in that they now know what is expected of them. The performance and personal attributes are measured.

Group 4

Performance is measured in line with the BSC. The PMS has helped in identifying the gaps in the policies. For instance, if an employee has some skills gaps and needs training, that person cannot be trained if they are not in the training plan.

Summary

Themes	Sub-themes	Verbatim examples
Balanced Scorecard	Training, processes re-engineering/prioritizing, subjectivity, rewards, competition, standardization, quality management, alignment, performance gaps, timeliness	<ol style="list-style-type: none"> 1. "There is no standardization in performance measurement or rating system because different supervisors rate their subordinates differently." 2. "Rewards are dysfunctional because different cadres compete for the same post regardless of length of service."

Question 5: What mechanisms do you have for recognizing excellent individual performance or dealing with a poorly performing employee?

Group 1

For excellent performers there are promotions and awards. The poorly performing employees are shown their performance gaps and mentored by their supervisor.

Group 2

Employees are promoted for good performance and there are also salary increments where one is not promoted. Some supervisors write letters of appreciation to their subordinates. There are also certificates and trophies to excellent performers.

The culture inhibits us from dealing with poorly performing employees because we do not tell a person to their faces that they are not performing to the required standard, we would rather gossip about it. We normally say, "*Re tshaba go tlhoiwa kana go loiwa*," translated to mean, "We are afraid of being hated or strain relations and/or bewitched." Checkpoints, mentoring and coaching are sometimes done to encourage employees to perform.

Group 3

PMS encourages dialogue between the supervisor and the supervisee. Coaching and mentoring is done to poor performers while good performers are promoted. Awards are also given to good performer but that is done at ministry level. Letters of recognition are also written to good performers.

Group 4

Excellent performance is recognized through accelerated promotions and word of encouragement. For poor performers, there are motivational talks and letters of reprimand. The departmental senior management also goes on retreat to discuss work-related issues.

Summary

Theme	Sub-themes	Verbatim examples
Good performers	Promotions, awards	1. "Good performers are promoted and given awards in the form of certificates and trophies."
Poor performers	Mentoring, coaching, culture, letters of reprimand	2. "Poor performers are mentored by their supervisors." 3. "Culture sometimes inhibits us from dealing with poor performers because you can't tell a person in their face that they are not performing. We are afraid of straining relationships or being bewitched."

Question 6: Are the employees well conversant with the PMS requirements?

Group 1

The employees are conversant with the PMS requirements the PMS requirements but there are times when employees do not take the reform seriously because they know that "with or without, a mark can be allocated to me and I will progress." PMS is implemented because management takes aboard the lower level employees though there are some disgruntlements due to dysfunctional rewards. We can say that PMS is implemented at 50% because performance logs are not filled and coaching is not really done as it should be although supervisors know that they are supposed to do that. There is lack of alignment in the system...

Group 2

Employees are very conversant with PMS requirements and the new employees are given orientation on the reform. The industrial class employees have even translated the vision, mission and values in Setswana so that they can better understand and "walk the talk."

Group 3

Some employees are not conversant with PMS requirements and the department is challenged with taking them aboard, especially new employees. There is still need for cascading and continuous training on PMS should be done. People do not live up to the requirements due to resistance from some quarters.

Group 4

The employees are conversant with PMS requirements in that the key staff members or the divisional heads have trained on PMS and therefore they train their respective subordinates. The employees prepare PDPs and reviews are done on a quarterly basis.

Summary

Themes	Sub-themes	Verbatim examples
Knowledge	Training, attitude,	<ol style="list-style-type: none"> 1. "Employees have been trained on the reform and new ones are also trained" 2. "... but there are times when employees do not take the reform seriously because they know that with or without, a mark will be allocated to me and I will progress." 3. "Some employees are disgruntled because non-deserving employees awarded high marks."

Question 7: What communication strategy regarding PMS do you do you employ in your organization?

Group 1

The departmental management ensures that the new employees are sensitized on PMS. The PIC also cascades PMS to departments through workshops. Most activities regarding PMS are done at Ministry level and passed on to the departments. The communication strategy was decided and drawn at ministry level and departments are should adopt, internalize and customize it according to their respective mandates. The strategy is more on the outreach whereby the Ministry and its departments sensitize the public on what services are available to them. In a way the Ministry is taking the services to the people. The public service standards also help augment PMS in that the civil servants' performance should reflect and be aligned to those standards. The communication strategy is all about performance improvement.

Group 2

The communication strategy has been developed at ministry level but it has not yet been publicized. The department holds workshops and kgotla meetings to sensitize customers and stakeholders what the department services are and what they should expect. They are also road shows where pamphlets are distributed, holding information days and participation in the annual consumer fair for information dissemination. The strategy is also available on the ministry website.

Group 3

There are management briefing sessions on a weekly basis. The DPIC meetings are held to feed into the MPIC. There are divisional meetings and performance standards

are communicated to the public through the media. There are also stakeholder for a like the NCTP, kgotla meetings, trade fairs and outreach programmes like, “operation *motlhala wa khumo*.”

Group 4

There are monthly divisional meetings where performance is discussed, prayer meetings encouraging behavioural change so as not to compromise performance.

Summary

Theme	Sub-themes	Verbatim examples
Communication/sensitization	Workshops, kgotla meetings, road-shows (taking the services to the people, operation <i>metlhala ya khumo</i>), media (radio, newspapers), monthly meetings, trade fairs	<ol style="list-style-type: none"> 1. “The communication strategy has been developed but has not yet been publicized.” 2. “There are stakeholder forums like NCTP.”

Question 8: Is there alignment between individual, team and organizational objectives with Vision 2016?

Group 1

We are aligned because our strategic plan is based on Vision 2016. We are looking at the pillar relevant to us and the departments look at how they fit into that pillar. Our plans are also based on the National development Plans as well as the Vision 2016.

Group 2

Yes there is alignment. The individual, team and organizational objectives feed into Vision 2016 and there are quarterly reports done on that as previously mentioned in question 3.

Group 3

There is alignment because policies and programs are aligned with Vision 2016. There are also wellness programs which is an indication that management is concerned about the employees' well-being.

Group 4

There is alignment with Vision 2016 because the department is performing according to the relevant pillar.

Summary

Theme	Sub-themes	Verbatim examples
Alignment	Strategic plan, vision 2016	<ol style="list-style-type: none">1. "We are aligned because our strategic plan is based on Vision 2016."2. "Our plans are also based on National Development Plans."3. "Our policies and programs are also based on Vision 2016."

Question 9: How is the balanced scorecard related to PMS?

Group 1

This has already been covered in question 4 because like we said, the BSC is a holistic approach to PMS where all the perspectives are taken aboard. Like the name suggests, there is balanced attention given to all the factors that result in the overall customer satisfaction.

Group 2

The BSC is the implementation stage of PMS taking into account all the four perspectives.

Group 3

The BSC is a tool in PMS assisting in measuring how well the department is faring in serving the customers. It helps in PMS implementation and focuses on the objectives and other elements.

Group 4

PMS and the BSC are one and the same thing in that the BSC is an improvement on PMS. Clear targets are set and the perspectives are clearly indicative of expectations. You are able to estimate how much you think you will need to execute your plan.

Summary

Question 9: How is the balanced scorecard related to PMS?

Theme	Sub-themes	Verbatim examples
Balance	Measurement, focus (target-setting, expectations), customer satisfaction	<ol style="list-style-type: none">1. "The BSC is a balanced or holistic approach to PMS. As the name suggests, there is balanced attention given to all the factors, resulting in overall customer satisfaction."2. "There is focus and clear target-setting."

Question 10: How does the traditional Setswana culture affect performance?

Group 1

We are professionals. The culture will go with individual experiences and there are instances where some people will be saying, "I can't take instructions from a younger person, especially difficult employees." That is more on the personal attitude and there is a tendency by some senior managers to say that "people are senile and therefore cannot take up some positions." There are also some people, who will be bringing their social status into the workplace. For example, "*Hei mohumaneginyana yo o a lapisa*", translated to mean, "Hey this beggar is troublesome."

Group 2

In instances where a younger manager supervises an elder employee, there is always caution of some sort although we act professionally. It again depends on the personalities of individual employees and some aspects have been covered in question 5.

Group 3

Subordinates and supervisors do not communicate openly when they have complaints. The culture is such social events should be attended but due to work commitments we are not able to attend. This in turn affects us psychologically because we do not concentrate on our work, thereby compromising quality of service.

Group 4

The traditional culture does not affect performance in any way because there are service standards that guide performance. PMS has greatly transformed people's mindsets in that they now follow the work ethics such that employees are now disciplined by the environment within which they work.

Summary

Theme	Sub-themes	Verbatim examples
Culture	Professionalism(personalities, attitudes, individualism), transformation, society	Subordinates and supervisors do not clearly communicate when they either have problems or complaints." "The traditional culture is that we should attend social events but due to work commitments we are not able to attend. This in turn affects us psychologically and impacts negatively on our performance." "PMS has greatly transformed people's mindsets because they now follow work ethics and they are disciplined by the environment within which they work."

Question 11: Since PMS implementation, are there any notable improvements?

Group 1

There are limited hues and cries from the general public nowadays. People now know what they are expected to do. We are supposed to be looking at our mandate and the relevant pillar. Though there are improvements, there is a problem concerning the measurement of impact. The impact should be indicated by more enlightened people and less public complaints. There is no baseline data upon which to base our allegations or assumptions. There is still need for benchmarking.

Group 2

Improvement is there, people know their job expectation and they also know their purpose in the department. There is also regular feedback between the supervisor and the supervisee. In some instances the employees come up with initiatives that can help improve performance in the department.

Group 3

There are notable improvements in that planning is done on a serious note, people are now more focused and there is continuous improvement. Employees are now more accountable because they know that they are going to be rated on their performance.

Group 4

There has been improvement in our department because processes have been improved and re-engineered such that a company is registered within 5 days from the previous 3 months. Legislation is under review, systems have been computerized, and revenue collection has been improved in that fraud has been greatly reduced.

Monitoring has been enhanced and the processes are recognized by ISO 900 for adherence to international best practices. There is also feedback from stakeholders through meetings and for a like company secretaries. The Copyright and Intellectual Property Committee helps the ROCIP to monitor.

Summary

Theme	Sub-themes	Verbatim examples
Improvement	Public complaints, expectations(focus, accountability), impact International best practices (ISO 9000)	<ol style="list-style-type: none"> 1. "There is now limited hue and cry from the public although there is still a problem with the measurement of impact." 2. "We do not have baseline data." 3. "There is need for benchmarking." 4. "There is also Business Process Re-engineering (BPR) to improve performance."
Feedback	Monitoring Meetings (stakeholders)	<ol style="list-style-type: none"> 1. "There is regular feedback between supervisor and supervisee." 2. "There is also feedback from stakeholders through meetings." 3. "The Copyright and Intellectual Property Committee helps ROCIP to monitor."

Question 12: What constraints do you experience regarding PMS implementation?

Group 1

Feedback is not really hitting the right nerve in that people still lose track in some instances. The measurement system is not standardized resulting in disgruntlement in some quarters. There is a lot of "rushing through" the activities and more initiatives are coming in, resulting in the "reforms fatigue." There is a lot of activities, though job-related, that are "creeping" into the planned for objectives and this stifles achievement of targets. There are manpower constraints and this result in a need for more time to achieve what was planned for. There is brain drain in the MTI such that people who were trained in PMS have left the organization. There is also a skills gap because the PMS desk officers or departmental focal persons are not thoroughly trained in PMS. The focus persons also have time constraints such that they cannot sit down with their respective departmental executives to review the PMS successes and failures since they were just "roped in" to handle PMS though they still have their core business.

The local authorities are not aligned with the central government because there are different departments at district level with their headquarters somewhere else, leading to some conflicts in performance. The departments take instructions from their headquarters and the district commissioners want things done in a certain way but the headquarters instruct otherwise. The district PMS is different from that of the central government and this calls for a serious review since the customer being served is the same, regardless of the department.

Group 2

The objectives and measures are not standardized. The individual judgments of supervisors also pose challenges because some supervisors are lenient whilst others are strict and want the job done. There are also resource constraints. The changes are galloping such that the department cannot cope, simply put, there is reforms fatigue. Different consultants confuse the civil service in that every one defines PMS the way they understand it. There is a problem of brain drain in the organization in that people or employees who understand PMS leave the organization and new employees have to be oriented, along the way compromising service delivery.

Group 3

There are challenges in that unplanned activities “creep in” and sometimes lead to one not reaching their target. Too much time is spent in meetings and little left for executing the plan. PMS is not followed to the letter and this sometimes discourages employees. There is some resistance to PMS by some employees because they “do not see/get any benefit from it.” There is also the question of not implementing the rewards menu as per the guidelines. There is no standardization in implementation, especially in reviewing the employees.

There is also the human error, that is, there is some element of subjectivity. Some supervisors are strict while some are lenient. Dysfunctional rewards also hinder performance in that some undeserving officers are promoted and no action taken on non/poor performers. Subordinates are not given support in terms of coaching and mentoring. There is also a lot of bureaucracy in the organization such that employee initiatives are not coming out.

Group 4

Training is very slow due to the nature of work in ROCIP. Reviews are also not done timely due to time constraints. Numerous new initiatives put a lot of strain on the already limited human resource, thereby engaging temporary assistants.

Summary

Themes	Sub-themes	Verbatim examples
Measurement system	Standardization (performance review, objectives) Feedback	<ol style="list-style-type: none"> 1. "Performance review is not standardized, leading to disgruntlement amongst some employees." 2. "Feedback is really not hitting the right nerve because people still lose direction in some instances."
Resources	Manpower (brain drain, skills gap, divided attention) Reforms fatigue (numerous changes) Time constraints	<ol style="list-style-type: none"> 1. "People who were trained in PMS have left the organization for greener pastures." 2. "There are 'galloping' changes in the reforms and people are not given enough time to understand." i.e. There is one reform after the other. 3. "There is a lot of 'rushing through' the activities although work-related resulting in not achieving in time." 4. "Too much time is spent in meetings." 5. "Numerous new initiatives put a lot of strain on the already limited human resource."
Human error	Subjectivity (strict vs lenient supervisors). Support (coaching, mentoring)	<ol style="list-style-type: none"> 1. "Officers/employees are rated differently for similar objectives." 2. "Some supervisors do not give their subordinates enough support."
Structure	Alignment, bureaucracy	<ol style="list-style-type: none"> 1. "Local authorities are not aligned with the central government although they serve the same customer."

Question 13: How much control do you have over resources allocation?

Group 1

We have control over the resources allocated to us at departmental level, but in terms of getting what we really need from the Ministry of Finance, then we don't have much

control. Again, the absolute onus lies with the Ministry manage because they can decide to deploy the resources as and when they wish for they take precedence over the departments, which sometimes hinders performance at the department level. In cases where the department runs short of funds, there is re-prioritization of activities and supplementary budget requested for and justified as necessary.

Group 2

We have control over the funds allocated to us but with the human resource control is limited. Transfers sometimes originate from the ministry and we cannot refuse.

Group 3

We do not have much control over resource allocation because we work within what has been allocated to us. The decisions are taken by people who are not on the ground, with both the human and financial resources very limited.

Group 4

The department used to have limited control on resource allocation because it was a unit under Ministry management, but now that it is a fully fledged, we a now have control over resources, though we operate under ceilings set by government. The intention is to decentralize our services to the districts.

Themes	Sub-themes	Verbatim examples
Control	Resources allocation (financial, human)	<ol style="list-style-type: none"> 1. "We don't have that much control because the ceilings are determined by the Ministry of Finance." 2. "We have control over the funds allocated to us but with the human resources we have limited control because some transfers originate from the ministry (headquarters) and we can't refuse." 3. "We do not have much control over resources allocation. We work with what has been allocated. Decisions are taken by people who are not on the ground."

Question 14: What suggestions do you have regarding PMS improvement?

Group 1

First and foremost there should be alignment of systems in the civil service and standardization of the measurement system. An example is where an auditor in the Department of Co-operatives takes a week or more to produce a report for one co-operative society and is made to compete with a Commercial Officer who checks if the trading licenses have been renewed, taking a week to check say twenty traders.

PMS desk officers need training, say CATALYST so that they can better cascade the reform in their respective departments and be better positioned to continue in case the PIC leaves the organization. The PIC's office should be manned or adequately staffed to ease pressure on the reforms desk officers.

Group 2

We can improve our performance as the department by holding more business meetings with co-operative societies. The rewards menu should be fully implemented so that employees can sometimes have financial benefits. Objectives should be realistic and at the level of officers who are at implementation stage. There should be a clearly defined outcome that we want to achieve lest we get caught up in using the wrong measures, that is, there is a problem in differentiating between output and outcome/impact of the service on the recipients.

Group 3

To improve performance, employees should be given support in terms of competency development in line with the identified skills gaps. The systems should be interlinked, for example, the training plan should be linked to staff competencies. Subordinates should be given a chance to review their supervisors. PMS should operate as a system. Employee welfare should be seriously considered in terms of wellness where counseling is provided in the workplace institutional accommodation provided because some commute from as far as Lobatse and Kanye.

Group 4

Good performance should be rewarded by implementing the rewards menu as per the guidelines. Where possible the 13th cheque should be introduced. The rewards should be translated into monetary terms. Staff welfare should be taken aboard, for instance, counseling, gym and housing.

Summary

Themes	Sub-themes	Verbatim examples
Alignment Standardization	objectives	<ol style="list-style-type: none"> 1. "There should be alignment of systems in the civil service and standardization of the measurement system." 2. "The outcome should be clearly defined so that we can have a clear measurement system."
Human resource	Support (mentoring, coaching) Training (competency development) Welfare (housing, counseling, gym) Recognition (rewards)	<p>"Employees should be given support in terms of competency development in line with the identified skills gap."</p> <p>"The PIC's office should be manned to ease pressure on the reforms desk officers."</p> <p>"Employee welfare should be seriously considered in terms of wellness. Counseling and staff accommodation should be provided because some people commute from as far as Lobatse and Kanye."</p> <p>"The rewards should be in monetary terms and where possible the 13th cheque should be introduced."</p>