

**CHALLENGES IN THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT
SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO**

by

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DECLARATION

I, Ramataboe Leonia Tefelo, do hereby declare that this dissertation submitted by me to the University of the Free State for the Degree Masters in public Administration (M. Admin) is my own independent work and has not been submitted by me at another university/faculty. I further cede copyright of this dissertation in favour of the University of the Free State.

18 January 2016

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Date

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ABBREVIATIONS

ABC	- All Basotho Convention
AIDS	- Acquired Immuno-Deficiency Syndrome
BNP	- Basotho National Party
BSC	- Balanced Score Card
CGP	- Child Grant Programme
CMC	- Central Moderation Committee
GDP	- Gross Development Product
GHI	- Gross Hunger Index
GNI	- Gross National Income
GOL	- Government of Lesotho
HDI	- Human Development Index
HIV	- Human Immune Virus
HRO	- Human Resource Office
HODs	- Heads of Departments
HOSs	- Heads of Sections
IMF	- International Monetary Fund
INDF	- Interim National Development Framework
ICT	- Information Communication Technology
IT	- Information Technology
KRAs	- Key Results Areas
KPIs	- Key Performance Indicators
LCD	- Lesotho Congress for Democracy
LDC	- Least Developed Country
LIPAM	- Lesotho Institute of Public Administration and Management
MBO	- Management by Objectives
MD	- Managing Director
MDGs	- Millennium Development Goals
M&E	- Monitoring and Evaluation
MMC	- Ministerial Moderation Committee
MPS	- Ministry of Public Service
MSD	- Ministry of Social Development
MSP	- Ministerial Strategic Plan
MTP	- Medium Term Plan
NDRP	- National Disability and Rehabilitation Policy
NPSD	- National Policy on Social Development

NSPP - National Social Protection Policy
NSPS - National Social Protection Strategy
NGOs - Non-Governmental Organisations
NISSA - National Information System for Social Assistance
NPM - New Public Management
NSDP - National Strategic Development Plan
NSPVC - National Strategic Plan on Vulnerable Children
OECD - Organization of Economic Cooperation and Development
OVC - Orphans and Vulnerable Children
PA - Performance Agreement
PM - Performance Management
PMS - Performance Management System
PMSP - Performance management System Policy
PMTCT - Prevention of Mother To Child Transmission
PFM - Public Financial Management
PRSP - Poverty Reduction Strategy Paper
PRS - Poverty Reduction Strategy
PSIRP - Public Service Improvement Reform Programme
PWDs - Persons with Disabilities
ROM - Results Oriented Management
SADC - South African Development Community
SDBIP - Service Delivery and Budget Implementation Plan
SPSS - Scientific Package for Social Sciences
UNDP - United Nations Development Programme
UNICEF - United Nations International Children's Fund
WHO - World Health Organization
WMO - World Meteorological Organization

ABSTRACT

Performance management system in an organisation helps top management to achieve strategic business objectives; furnishes valid and useful information for making administrative decisions about employees; informs employees about their performance and about the organisation's and the supervisor's expectations; allows managers to provide coaching to their employees; provides information to be used in workplace planning and allocation of human resources; and collects useful information that can be used for various purposes such as test development and human resource decisions. In the Lesotho context, PMS was introduced in the Public Service of Lesotho, the Ministry of Social Development (MSD) included, to enhance public officers' performance.

The aim of this research was to promote effective service delivery in the Ministry of Social Development in Lesotho through the implementation of the performance management system. The research envisaged to achieve the following four objectives;

- i) To provide an overview of the theoretical framework of performance management;
- ii) To document the existing legislative framework, policies and strategies supporting the implementation of the performance management system in the MSD;
- iii) To identify challenges that impede on the implementation of the performance management system in the Ministry of Social Development since 2000 to 2014 by means of empirical research;
- iv) To propose strategies to be employed by managers within the ministry's departments to improve the implementation of the performance management system.

A quantitative methodology was used to collect data from the respondents in the Ministry of Social Development. The research established that several legislative directives and policies were introduced to support the implementation of the PMS across all government ministries, departments and agencies, including the MSD. However, challenges pertaining to the implementation of the PMS in the MSD seem eminent. The research discovered that challenges in the implementation of the PMS revolved around: a) lack of training on performance management i.e. lack of orientation on PM, monitoring and evaluation, laws and policies supporting the implementation of the PMS; b) poor communication in performance planning, reviews, feedback and M&E of performance; and c) management involvement in the implementation of the PMS.

The research proposed that MSD should train staff on PM, policies and legislative framework supporting the PMS implementation. The research also recommended strengthening of

communication channels through development of a communication strategy. It deems imperative that MSD should show the courage to investigate the incorporation of innovative principles in the management of the PMS in future.

CHAPTER 1: INTRODUCTORY COMMENTS

1.1 INTRODUCTION

Performance management is defined as a continuous process of identifying, measuring and developing the performance of individuals and teams and aligning performance with the strategic goals of the organisation (Aguinis, 2009: 36). As a system, it serves different purposes in an organisation; it helps top management to achieve strategic business objectives; furnishes valid and useful information for making administrative decisions about employees; informs employees about their performance and about the organisation's and the supervisor's expectations; allows managers to provide coaching to their employees; provides information to be used in workplace planning and allocation of human resources; and collects useful information that can be used for various purposes such as test development and human resource decisions (Aguinis, 2009: 30-31).

The introduction of the Performance Management System (PMS) in the Public Service of Lesotho (LPS) was intended to enhance public officers' performance and productivity. The PMS in the Public Service of Lesotho existed since 1969 and was enforced by the 1969 Public Service Regulations (Government of Lesotho, Performance Management Policy, 2005: 15). This PMS used a confidential reporting often dubbed as a "closed system", whereby the supervisors report about subordinates on issues such as conduct, performance and promotion eligibility (Thabane, Ntepe, Chabane, Moeketsi and Came, cited in Sefali, 2010: 56-57). The assessment that was recorded on the confidential report was the sole opinion of the supervisor, who never consulted the appraised employees for agreement or disagreement with the contents of the report, hence its name, a "closed" system (Kingdom of Lesotho, 2008: 23).

The implementation of the Confidential Report was characterised by the absence of a transparent mechanism of feedback and communication and, as a result, the Government of Lesotho, having realised the limitations of the PMS, introduced a Performance Management System Policy (PMSP) in 1995. This policy was reintroduced in 2000 as the new PMS, known as the Integrated Performance Management System, because it was not fully deployed across all government ministries, departments and agencies from 1995 until 2000. The Lesotho Institute of Public Administration and Management (LIPAM) spearheaded the reintroduction of the PMS, under the auspices of the Ministry of the Public Service. The PMS was fully implemented in 2000 after the Cabinet decision that declared it operational (Kingdom of Lesotho, 2007: 214).

The purpose of the 2000 Performance Management System Policy (PMSP) is mainly to assist line ministries such as the Ministry of Social Development (MSD), to meet their goals and objectives by having in place a systematic process designed to articulate and measure employee performance within the public service. The PMS policy is based on national strategic principles provided by the Government of Lesotho's vision and values (Government of Lesotho, Performance Management Policy, 2005: 3). Lesotho's vision is that by the year 2020, Lesotho shall be a healthy and well-developed human resource base. Its economy will be strong, its environment well managed, and its technology well established (IMF Country Report, 2012: 2; Ministry of Development Planning, 2014: xi). To achieve these ends, the National Strategic Development Plan (NSDP) 2012/13–2016/17 seeks to address the following six clusters:

- (a) pursue economic growth that is high, shared and employment creating;
- (b) develop priority infrastructure;
- (c) enhance the country's skills base, technology adoption and foundations for innovation;
- (d) improve health, combat HIV and AIDS, and reduce (social) vulnerability;
- (e) reverse environmental degradation and adapt to climate change; and
- (f) promote peace and democratic governance, and build effective institutions (IMF Country Report, 2012: 1; Ministry of Development Planning, 2014: xx).

The last NSDP cluster (f) provides the basis for performance and development management in the Public Service and is complemented by the need to promote efficiency and effectiveness. The PMS policy defines the process of PMS as managing the performance and development of each individual through planning, recognition, assessing and rewarding outputs (Government of Lesotho, Human Resource Policy Manual, 2006: 4).

After the Cabinet had made a decision that all government ministries and agencies should implement the PMS Policy in 2000, the Ministry of Social Development, which was established to show its commitment to social development in Lesotho, took heed and implemented its PMS. The Ministry of Social Development stemmed out of the former Ministry of Health and Social Welfare currently known as the Ministry of Health. This transition occurred after the Lesotho's General elections in June 2012. Therefore, all policies and priorities of the former Department of Social Welfare (which was situated within the Ministry of Health and Social Welfare) were transferred to the Ministry of Social Development in 2012. The ministry's mission statement was to "lead and facilitate the provision of Sustainable Development Services that are universally accessible to all groups in Lesotho in collaboration with other key stakeholders" (Ministry of Social Development Strategic Plan, 2014: 5). The ministry has thirteen (13) departments, namely Administration,

Operations, Procurement, Human Resources, Planning, Finance, Legal, Children's Services, Disability Services, Elderly Services, Information, Audit and Information and Technology.

The Ministry of Social Development deployed the PMS in compliance with the Cabinet decision that all government ministries, departments and agencies should make it operational in 2000. The implementation of the PMS is further captured in the stipulations of the legal framework, for instance, the

- Public Service Act, 2005 (Act 2 of 2005),
- Public Service Regulations, 2008,
- Codes of Good Practice, 2008 (Act 82 of 2008),
- Basic Conditions of Employment for Public Officers (Act 43 of 2011), and
- Public Financial Management and Accountability Act (Act 51 of 2011).

The Ministry of Social Development draws up annual operational plans, which set out objectives and activities in accordance with the legislative framework, policies and strategies stipulated in the National Vision 2020, the United Nation's Millennium Development Goals (MDGs) and the National Strategic Development Plan 2012/13–2016/17 (which succeeded the Poverty Reduction Strategy and the Interim National Development Framework (INDF)), National Policy on Social Development 2014/15–2024/25, National Social Protection Strategy 2014/15–2018/19, Lesotho Policy for Older Persons (2014), National Disability and Rehabilitation Policy (NDRP) (of 2011), Ministerial Strategic Plan (MSP) 2014/15–2016/17, Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025, and the National Strategic Plan on Vulnerable Children (NSPVC) April 2012 to March 2017.

The MSD's operational plans are aligned to the ministerial budget for every financial year. Public officers from the level of salary Grade E and above have to prepare individual work plans for each financial year based on the job description and individual assignments of the officers linked to the operational plan of the ministry. Officers below salary Grade E do not draw up work plans, but complete appraisal forms (the difference between appraisal forms for officers below salary Grade E and above will be shown later). Therefore, performance appraisals are filled in by all categories of officers from salary Grades A to M and performance reviews are carried out twice a year. Performance evaluation is carried out by supervisors to complete the PMS cycle, but neglects the final aspect of the PMS cycle, the reward system, which was not implemented at the time the Cabinet made a decision in 2000 that the PMS should be operational.

It is worth noting that some of the MSD's priorities and plans are captured in the:

- Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005-2025,
- National Strategic Plan on Vulnerable Children (NSPVC) April 2012 to March 2017,
- National Policy on Social Development 2014/15–2024/25, the National Social Protection Strategy 2014/15–2018/19,
- Lesotho Policy for Older Persons (2014),
- National Disability and Rehabilitation Policy (NDRP) (of 2011) and
- Ministerial Strategic Plan (MSP) 2014/15–2016/17.

These documents help to identify national priorities and set performance targets of the response to vulnerable groups. Since the implementation of the ministries' PMS from 2000 to date, some progress had been realised as some goals and objectives were met. However, the implementation process of the ministry's PMS experienced several challenges, which made it difficult to achieve or meet some targets that are very critical to the country's development. These challenges are explained in the sections that deal with the background and reason for the study.

1.2 BACKGROUND TO THE STUDY

Lesotho, officially the Kingdom of Lesotho, is a landlocked country and enclave, surrounded by its only neighbouring country, South Africa. It is just over 30 355 km² (11 720 m²) and has a population of slightly over two million. The name 'Lesotho' translates roughly into 'the land of people who speak Sesotho'. Lesotho is an independent state in the world that lies entirely above 1 000 m (3 281 ft) in elevation. Its lowest point of 1 400 m (4 593 ft) is thus the highest in the world. Over 80% of the country lies above 1 800 m (5 906 ft). Lesotho lies between latitudes 28° and 31° S, and longitudes 27° and 30° E (Lesotho Country BTI Report, 2014: 2).

According to Prasad (2013: 1), the Lesotho Government is a parliamentary or constitutional monarchy. The 2012 elections in Lesotho created history by producing a coalition government in the Eighth National Assembly. The majority by one seat was formed by a coalition of three Parties – the All Basotho Convention (ABC) with 30 seats, the Lesotho Congress for Democracy (LCD) with 26 seats, and the Basotho National Party (BNP) with 5 seats. The coalition also receives support from a group made up of six minor parties collectively holding nine seats and referred to as the Block, thus giving it a comfortable

working majority. Prasad (2013: 2) further notes that the Prime Minister is the head of Government and has executive authority.

This coalition government was dissolved after the February 2015 general elections, which resulted from political tensions and the suspension of the National Assembly over the controversial change of the head of the army from Lieutenant General Kennedy Tlali Kamoli to Lieutenant General Maaparankoe Mahao (SADC EOM, 2015: 1). Lesotho then was faced with an attempted coup d'état, which forced the South African Development Community (SADC) intervention to mediate. The South African Deputy President Cyril Ramaphosa led the mediation.

This led to a call for early elections, which took place on 28 February 2015 (SADC EOM, 2015: 1). Since no political party conclusively won majority seats, the Democratic Party (DC), led by Dr Pakalitha Mosisili formed a coalition government with the Lesotho Congress for Democracy and five other small political parties (Popular Front for Democracy, Basotho Congress Party, Lesotho People's Congress, Marematlou Freedom Party and National Independent Party). Dr Pakalitha Mosisili is the Head of Government and Mr Mothetjoa Metsing is the Deputy Prime Minister (SADC EOM, 2015: 1). The DC leads a coalition government in the National Assembly, the lower house of parliament.

According to Prasad (2013: 2), the upper house of parliament, called the Senate, is composed of 22 principal appointees of the king, acting on the advice of the prime minister. The Lesotho Government has 24 government ministries (with 26 ministers) (Lesotho Government Secretary's Savigram, 2015: 10-11) and five (5) agencies. All government ministries are headed by ministers and agencies are headed by chairpersons. Seven ministries have deputy ministers, whilst others do not have any. The Ministry of Social Development is headed by a minister, followed by the Principal Secretary.

According to Armacost (2000: v) (cited in Hope, 2001: 119-120), in the 1980s, the New Public Management (NPM) brought civil service reforms in the many countries across the globe. Many governments, including the Lesotho government, have embraced the NPM as the framework or paradigm through which governments are modernised and the public sector re-engineered to strengthen the connections between government and the mechanisms, both in government and civil society. For Armacost (2000: v) (cited in Hope, 2001: 119-120), the NPM seeks to introduce private-sector practices, i.e. modes of organising and managing in to the public sector, emphasis on efficiency, effectiveness and quality of service, strengthening of strategic capacities to guide the evolution of the state and

allow it to respond to external changes and diverse interests, movement away from input controls, rules and procedures toward output measurement and performance targets, preference for private ownership, contestable provision and contracting out of public services, and the devolution of management control with improved reporting and monitoring mechanisms.

The NPM came in to use at the beginning of the 1990s to describe public-sector reforms in the United Kingdom and New Zealand as a conceptual device invented for the purposes of structuring discussion of changes in the organisation and management of government. The NPM also brought public sector reforms into the developing world, Lesotho included. The World Bank, United Nations Development Programme (UNDP), Organization of Economic Cooperation and Development (OECD) and International Monetary Fund (IMF) are amongst other major factors that influence the public-sector reforms in the developing world. These actors helped developing countries, including Lesotho, to achieve a wide range of public policy goals, national development plans, including the National Vision 2020, Service Delivery Agenda, Public Sector Improvement Programme (PSIP), the Millennium Development Goals (MDGs) and National Strategic Development Plans, to speed up economic development and catch up with the developed world.

Civil Service Reform in Lesotho dates back from the British era around the 1960s and earlier, who introduced the system of the Civil Service in the country. The first Civil Service Reform after Lesotho had gained its independence on 4 October 1966, focused on extensive localisation and expansion of the Civil Service. However, the reform was not successful and this led to the second reform in the 1980s, which was aimed at a structural adjustment programme. The third Public Sector Reform came in the 1990s and amongst the reforms introduced was Public Service Reform, which focused on strengthening the Ministry of the Public Service and Lesotho Institute of Public Administration and Management (LIPAM) (Government of Lesotho, 2012: 1-2). Under the Public Service Reform, the performance management system as a Human Resource Policy in the Lesotho Public Service was developed and implemented across all government ministries, including the Ministry of Social Development.

The development agenda of the government of Lesotho is governed by the long-term Vision 2020. In order to realise this vision, the Government of Lesotho developed the Poverty Reduction Strategy Paper (PRSP) and the Interim National Development Framework (INDF), currently named as the National Strategic Development Plan 2012/13-2016/17. Within the Poverty Reduction Strategy, the Government of Lesotho defined a three-pronged Public

Service Improvement Reform Programme (PSIRP), namely the Public Financial Management (PFM), the Public Service Reform (PSR) and the Decentralisation Reform. These reforms were introduced in the 2000s as government interventions to improve the delivery of public services. The reform that is applicable to this dissertation is the Public Service Reform (PSR), of which the introduction of the performance management system as a Human Resource Policy was developed. The performance of the MSD is therefore governed by government policies and other ministry's policies, which will be discussed in more detail in Chapter 3 of the study.

The MSD has been experiencing challenges, which hamper its delivery capabilities and have a negative impact on the country's development in its broader spectrum, i.e. socio-economic, political, geographic-environment and cultural. According to the Lesotho Country BTI Report 2014 (2014: 5), Lesotho's background of its Least Developed Country (LDC's) status caused it to lack financial resources and physical infrastructure to provide a social welfare system. The majority of its population live under marginalised circumstances. Government provision of social welfare is largely supported by international donor money, while local and international non-governmental organisations (NGOs) play an important role in supplementing the services rendered by the ministries of health and social development.

Economic growth is not sufficient to reduce the country's high poverty rate. Lesotho's Human Development Index value for 2011 is 0.450- in the *low human development category*, positioning the country at 160 out of 187 countries and territories (Human Development Report, 2011: 2). According to a UNICEF Annual Report (2013: 2), in 2012, Lesotho was ranked 158 out of 187 countries on the Human Development Index positioning the country in the Low Human Development range. Gross National Income (GNI) per capita is in the category of lower-middle income country and real Gross Domestic Product (GDP) is below the 5% required to reduce poverty on a sustainable basis (IMF Country Report, 2012: 3-4). Nearly 84% of the population is vulnerable to poverty (Government of Lesotho, National Social Protection Strategy 2014/15–2018/19, 2014: 6). These scenarios indicate that the country is still lagging behind in terms of social and economic development, so is the Ministry of Social Development.

Acquired Immuno-Deficiency Syndrome (AIDS) has become the single biggest burden on the country's social security infrastructure and the pandemic largely explains the low life expectancy of 48 years. According to the Report of the Portfolio Committee on the Social Cluster on Review of Performance of the Ministry of Social Development (2014: 20), the Ministry of Social Development does not have the capacity in the area of infrastructure

development to meet the objective of provision of infrastructural support to rehabilitate the Ithuseng Vocational and Rehabilitation Centre, which enrolls OVC and vulnerable groups of the society on issues of entrepreneurial skills. The report further notes that the Ministry of Social Development relies on the Ministry of Health's Estate Management Support. This means when the Ministry of Health has activities to perform on the estate, priorities of the Social Development suffers.

The Lesotho Country BTI Report 2014 (2014: 5) further notes that with HIV prevalence at 23%, the country is faced with a challenge of having to take care of over 140 000 orphans. Approximately 125 000 children are considered to be vulnerable (Government of Lesotho, NSPVC, 2012: 6). The government does not have the political will or the capacity to support community-based support groups, which are intended to care for the infected and affected. The country carries a high burden of diseases, particularly HIV and Tuberculosis, which are considered great threats to the socio-economic status of Lesotho with great service delivery needs (WHO Country Cooperation Strategy 2008–2013, 2008: 33). Despite the government's attention on the pandemic, anti-retroviral therapy coverage in Lesotho is only 25% (World Health Organization Country Cooperation Strategy 2008–2013, 2008: 2).

The NSPVC April 2012 to March 2012, (2012: 7) reveals that despite the government efforts by the Ministry of Social Development to put in place the social protection framework based on policies and strategies (National Policy on Social Development 2014/15–2024/25 and National Social Protection Strategy 2014/15–2018/19) to promote the social development and economic growth, very few benefits reached the poorest and vulnerable households and individuals sufficiently.

The ministry's social protection framework is comprised of transformative, preventive, protective and promotive interventions that are inter-related and mutually reinforcing. They collectively contribute to an overall reduction of social and economic risks, and vulnerability and contribute to alleviating household poverty and deprivation. However, the socio-economic impacts of HIV and AIDS have increased households' vulnerability. The impacts manifest themselves in households and communities in different forms, ranging from increasing number of orphans and vulnerable children, narrowing of livelihood options, food insecurity, weakened service delivery and a breakdown of traditional social safety nets.

Over the past years, the Public Service of Lesotho, including the Ministry of Social Development, has been characterised by poor implementation of policies and programmes, which appears to emanate from weak management failing to implement the system as

intended and thus fail to achieve its objectives (Ministry of the Public Service, 2009: 15). After the reintroduction of the PMS in 2000 in all government ministries, departments and agencies in the Lesotho Public Service, the Ministry of Social Development commenced its PMS cycle of performance planning and contracting, strategic planning, performance appraisals, reviews and progress reports. The performance of the Ministry of Social Development is assessed based on government documents such as the:

- National Vision 2020 (established in 2001);
- United Nation's Millennium Development Goals (MDGs);
- National Strategic Development Plan (NSDP) 2012/13–2016/17, which succeeded the Poverty Reduction Strategy established in 2004 and Interim National Development Framework 2009/10–2010/11 (INDF);
- Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025;
- National Strategic Plan on Vulnerable Children (NSPVC) April 2012 to March 2017;
- National Policy on Social Development 2014/15–2024/25;
- National Social Protection Strategy 2014/15–2018/19;
- Lesotho Policy for Older Persons (2014);
- National Disability and Rehabilitation Policy (NDRP) (of 2011); and
- Ministerial Strategic Plan (MSP) 2014/15–2016/17.

The ministry formulated the strategic plan against which the performance of the ministry will be managed and evaluated; in this case, the Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025 and Ministerial Strategic Plan (MSP) 2014/15–2016/17 bear reference. The National Strategic Plan on Vulnerable Children (NSPVC) 2006–2010 and April 2012–March 2017, also provide the basis on which analysis of reports inform the identification of national priorities and setting of performance targets of the response to vulnerable children.

1.3 RATIONALE FOR THE STUDY

Although several legislative directives and policies have been established to support the implementation of the performance management system across all government ministries, departments and agencies, including the Ministry of Social Development, the following five challenges pertaining to the implementation of performance management in the ministry have been identified:

The first challenge is vested in the National Vision 2020 pillar, which states, “Lesotho shall have a well-developed human resource base” (Ministry of Development Planning, NSDP 2012/13–2016/17: 2014: 2). This vision pillar is most appropriate to the development and implementation of the performance management system in all government ministries, departments and agencies in Lesotho, including the Ministry of Social Development where review of progress made in the past years is done using this vision pillar. According to the Human Development Index (HDI) (2011), this National Vision pillar is off track approximately 2012 progress review revealed that the HDI is at 0.45 (Ministry of Development Planning, NSDP 2012/13–2016/17: 2014: 7). This therefore means that the performance of all government ministries, including the MSD, does not progress when using this measure, calling for a need to examine the reasons behind poor performance. The PMS of the MSD does not seem effective, because of the mentioned challenge.

The United Nation’s Millennium Development Goals (MDGs) 1, which seeks to eradicate extreme poverty and hunger and MDG 6, which seeks to combat HIV and AIDS, malaria and other diseases, is the second challenge relevant to this study. The 2012 MDG Africa Report (2012: 1) and MDG Status Report 2013 for Lesotho (2014: 14) reveal that the country’s MDG 1 is off track and MDG 6 is progressing slowly. Lesotho currently has the third-highest HIV prevalence rate in the world (MDG Status Report 2013 for Lesotho, 2014: 13). This alerts fears that the ministry’s objectives to mitigate the impact of HIV/AIDS pandemic on vulnerable groups and oversee the provision of social development services to foster universal and equitable access to all poor and vulnerable groups would not be at 100% achievement level in 2015, the year for completion of MDGs. This had a negative effect on the implementation of the MSD’s PMS as it makes it futile and fails to achieve its objectives of increasing performance, productivity levels and improving the delivery of public services. The two stated MDGs (1 and 6) relate to the implementation of the PMS in that the Ministry of Social Development’s performance is based and assessed on the national priorities, including the MDGs. Currently, the challenge in the implementation of the MSD’s PMS as per the Report of Portfolio Committee on the Social Cluster on Review of Performance of the MSD (2014: 20) is lack of physical and human resources and infrastructure (vehicles, officers and building) to support initiatives aimed at addressing the social aspects of orphans and vulnerable society.

The National Strategic Development Plan’s (NSDP) 2012/13–2016/17 (2012: 142) strategic objectives are to consolidate and improve efficiency of social protection systems and enhance coverage of selected interventions and are viewed as the third challenge pertaining to this study. However, the NSDP 2012/13–2016/17 indicates that there is high vulnerability

in Lesotho because of the high rates of poverty, HIV and AIDS and unemployment. These problems continue to exist, despite the government's efforts to implement several major programmes to improve the social protection system, including old-age pension for people over the age of 70 (approximately 75 000), school-feeding programmes, bursaries for orphans and vulnerable children, food and cash for work, food aid, social assistance for people with disabilities (70 000) and orphans and vulnerable children (221 000). The challenge with the implementation of the MSD's PMS is that all measures geared towards addressing poverty reduction, particularly to the vulnerable, do not seem to be successful, as the poverty remains at 84% in Lesotho (Government of Lesotho, National Social Protection Strategy 2014/15–2018/19, 2014: 6) and HIV/AIDS prevalence remains at 23% (The Lesotho Country BTI Report 2014, 2014: 5). As such, PMS seems an ineffective tool in this regard.

The fourth challenge emanates from the Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005-2025 (2004: 50), which seeks to promote equity of access to quality essential services by ensuring that staffing corresponds to service demand/workload. However, the Report of the Portfolio Committee on the Social Cluster (2014: 9) reveals that the Ministry of Social Development currently experiences shortages of staff caused by lengthy recruitment process and withdrawal of 38 Auxiliary Social Welfare positions. This shortage of staff has had a negative impact on the provision of some essential services; hence, it has hampered the delivery of public service. For instance, according to the UNICEF Annual Report 2013 (2013: 13) this move has hampered effective functioning of the Child Protection Services Department due to insufficient permanent staff. The UNICEF Annual Report (2013: 16) further explains that the MSD's weak capacity is one of the key challenges. The report disclosed that in 2013 payments there were delays, due to late enrolment of additional households and delays in the release of Government funds. These types of challenges affect the programme's sustainability as well as its potential impact on poverty.

This section on the rationale for the study concludes with the final challenge identified in relation to the topic, the National Strategic Plan on Vulnerable Children (NSPVC) April 2012 to March 2017, which aims to scale up availability and access to services by vulnerable children and their families (Government of Lesotho, NSPVC, 2012: 21). However, the NSPVC shows that this plan remains problematic, despite the government efforts to scale up core HIV sensitive social service for vulnerable children and their families (i.e. health, water and sanitation, birth and death registration, psychosocial support and education (Government of Lesotho, NSPVC, 2012: 21). This has had a negative impact on vulnerable

children and their families, as they are denied access to essential services. In this scenario, the implementation of the performance management system fails to be an effective tool due to poor performance indicators of service delivery as MSD's performance fall short of meeting set performance targets and therefore, call for intensive examination in to the PMS and recommend remedial measures.

In conclusion, there was thus a need to identify the challenges that impede the implementation of the PMS in the Ministry of Social Development in order to achieve both ministerial and national goals and objectives and ultimately promote effective service delivery.

1.4 SIGNIFICANCE OF THE STUDY

Based on the challenges mentioned it could be deduced that this study was worth conducting, as it would establish challenges that impede the implementation of the performance management system in the Ministry of Social Development. This ministry was specifically chosen as a case study, because currently, nations worldwide are mostly giving priority to their development efforts on social development, particularly targeting the social protection programmes for the most vulnerable sector of the economy. Lesotho, through the Ministry of Social Development, has also prioritised developmental efforts in the country. The findings of the study would assist the Ministry of Social Development and consequently achieve targets set out in the following national documents:

- (i) The National Vision 2020,
- (ii) National Strategic Development Plan (NSDP) 2012/13–2016/17,
- (iii) Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025 and Ministerial Strategic Plan (MSP) 2014/15–2016/17,
- (iv) Millennium Development Goals,
- (v) National Strategic Plan on Vulnerable Children April 2012- March 2017,
- (vi) National Policy on Social Development 2014/15 – 2024/25,
- (vii) National Social Protection Strategy 2014/15 – 2018/19,
- (viii) Lesotho Policy for Older Persons (2014) and
- (ix) National Disability and Rehabilitation Policy (NDRP) (of 2011).

1.5 AIM AND OBJECTIVES

The aim of this research was to promote effective service delivery in the Ministry of Social Development in Lesotho through the implementation of the performance management system. The research endeavoured to identify challenges that impede the implementation of

the PMS in the Ministry of Social Development. Consequently, the following objectives of this study were:

- i) To provide an overview of the theoretical framework of performance management;
- ii) To document the existing legislative framework, policies and strategies supporting the implementation of the performance management system in the MSD;
- iii) To identify challenges that impede on the implementation of the performance management system in the MSD, since 2000 to 2014 by means of empirical research;
- iv) To propose strategies to be employed by managers within the ministry's departments for improving the implementation of the performance management system.

The above-stated objectives would be achieved through employing the appropriate research methodology, which formed the basis of the next discussion of the study.

1.6 RESEARCH METHODOLOGY

The research design choice of this study was a case study. In this study, a case study was conducted in the thirteen departments (Administration, Operations, Procurement, Human Resources, Planning, Finance, Legal, Children's Services, Disability Services, Elderly Services, Information, Audit, and Information and Technology) within the Ministry of Social Development in Lesotho in order to identify challenges that impede on the implementation of the PMS. A quantitative approach was used in this study. It consisted of tables and graphical representation to provide a condensed picture of data and information.

A questionnaire survey (quantitative method) was used for data collection. The information collected via the mentioned methodology was supported by a comprehensive literature survey incorporating national and international books, journals, thesis, dissertations, Acts and various sources of legislation, research reports, internal governmental documents, magazines and newspaper articles. The sample comprised officers on salary Grade F to M in the Ministry of Social Development, amounting to a sample size (n) of 79 (Ministry of Social Development Salary Bill June 2014: 1-20). In this study, a stratified random sampling technique was used. Forty-six of the officials responded, giving a 58% response rate.

The questionnaires were pilot-tested and a sample size of five respondents was used to determine whether participants understood the questionnaire and to establish whether the questionnaire served the aim and objectives of the study. These data were analysed using the Statistical Programme for Social Scientists (SPSS) version 23. The results are presented in the form of graphs, cross-tabulations and other forms. Descriptive statistics were used to summarise the results in terms of frequencies and percentages for categorical variables. The

relationships between selected variables were investigated using correlations or contingency tables.

1.7 EXPLANATION OF TERMS

In order for this study to be understood by readers, it was deemed appropriate to provide detailed explanations of key words and concepts commonly used when dealing with the topic under consideration and these follow in the ensuing paragraphs.

1.7.1 Performance

For Armstrong (2009: 23), performance is referred to as being about doing the work, and about the results achieved. Performance is a multi-dimensional construct, of which the measurement varies, depending on a variety of factors that comprise it (Mwita, 2000: 19-37). Mwita (2000: 19-37) further argues that performance should be defined as the outcomes of work, because they provide the strongest linkage to the strategic goals of the organisation, customer satisfaction and economic contributions.

Mwita (2000: 19-37) subscribes to the premise that performance is behaviour and should be distinguished from the outcomes, because they can be contaminated by system factors outside the control of the performer. Performance is achieved if it is defined as embracing three interrelated variables; behaviour (processes), outputs and outcomes (value added or impact). Aguinis (2009: 9) also supports this view by arguing that performance means both behaviours and results, behaviours emanate from the performer. Conceivably, behaviours, results and value-added are inseparable and interdependent variables and are all important in performance schemes (Armstrong, 2009: 25) view performance as affected by a number of factors, all of which should be taken into account when managing, measuring, modifying and rewarding performance. They comprise of personal, leadership, team, system factors.

1.7.2 Management

Management refers to an organisational process that includes strategic planning, setting, objectives, managing resources, deploying the human and financial assets needed to achieve objectives and measuring results (Government of Lesotho, Performance Management Policy, 2009: 4). Traditionally, management is viewed as the process of setting and achieving goals through the execution of five management functions; planning, organising, staffing, directing and controlling; that utilise human financial and material resources (Aguinis, 2009: 12).

For Coates (2004: 632) management is a broad concept that encapsulates issues, such as financial management, human resources management, capital management and information technology management. Coates (2004: 632) argues that management is a critical component for effective governance and public service delivery. It would be extremely difficult for the public sector to perform effectively and efficiently without sound management initiatives or strategies (Eliassen and Sitter, 2008: 156).

1.7.3 System

Pearsall (cited in Sefali, 2010: 16) defines a system as “a complex whole; a set of things working together as a mechanism or interconnected network ... an organised scheme or method”. For Kooiman (2010: 74), a system is “the whole of inter-relations among a given number of entities, more than simply the sum of its parts, a system is a complex and dynamic set of inter-relationships, itself comprising of nested sub-systems”. Kooiman (2010: 75) further elaborates that systems are prone to uncertainty and unpredictability the consequence of actors, element of parts of systems acting or interacting without having the possibility of knowing what the result of their actions or interaction are for systems behaviour as a whole. For purposes of this research, the concept of system will refer to work plan (both individual and organisational), development plan, performance reviews, performance appraisals, performance standards, performance indicators, performance evaluation and job description.

1.7.4 Performance management

The introduction of performance management in both developed and developing countries was mainly informed by the quest to improve service delivery. Performance management is the process whereby the performance and development of each individual is managed, that is the planning, assessing and rewarding of performance and recognition of development, supported by continuous coaching and development to help the company, through its employees, to achieve its strategic objectives (Ministry of the Public Service, 2005: 4). Mwita (2000: 19-37) highlights three main reasons why PM has been introduced; firstly, to provide an objective measure to assess a manager’s performance; secondly, to determine whether managers were performing their functions effectively; and finally, to improve the politicians and senior management. Central to PM obligation is the germane question of sound leadership. Making the tough decisions that may be required to deliver on government mandate is the call to be made in salutation to the neat call for improved service delivery.

Performance management is arguably one measure towards addressing governance logjams that impede implementation and stymie efforts at improved service delivery. It is

contended that performance management is an important implementation vehicle and affirms the governance systems that works and exposes those that fail for relegation or realignment to ensure government components justifies their existence and the resources allocated for their sustenance. It could be rightly argued that PM is a critical cog in the policy implementation machinery for not only improved service delivery, but also more appropriately for a definitive impact in citizens' lives.

1.7.5 Performance management system

Huprich (2008: 7) contends that performance management as a system is designed to identify the ways to achieve organisational goals through constant assessment and feedback leading to improvement of employee performance. It is an ongoing assessment of employees in a manner geared to match their goals to the organisational goals. It also makes strong use of goal setting and metrics to identify progress and areas of individual strengths. Performance management system's objectives are to provide a planning and change management framework that is linked to the national development plan and budgetary process to enhance the capacity of government to achieve the desired level of socio-economic governance, improve the capacity of public officers in delivering appropriate services to the tax payers (Mwita, 2000: 19-37). In this study a PMS as a system would be complex comprising a range of actors, entities and parties which act and interact not only within its scope but often across into other systems. The MSD's PMS comprises actors such as managers, individual employees, HR offices, directors, deputy principal secretary, principal secretary and minister. The systems in place include performance review forms for officers from salary Grades A to M, Ministerial Moderation Committee, ministerial and national development plans and priorities and budget framework papers that informs the budget estimates or ceiling (Government of Lesotho, HRM Standard Operations Guide, 2012: 43-46).

1.7.6 Performance planning

Performance planning is an important component of a performance management system. Performance planning is concerned with setting targets to be pursued within a certain agreed period of time (Fox and Uys, 2002: 80). A performance plan indicates time, task and resources required to accomplish the desired goals (Armstrong, 2006: 32). These goals should be measurable (in terms of time and quantity), verifiable and realistic. These targets are used as a means to ensure accountability (OECD, 2004: 1). The subordinate has to explain to the supervisor whether the agreed goals or targets have been met or not (OECD, 2004: 1). If the targets have not been met, the supervisee has to answer why this is the case. This process is called objective responsibility (Gregory, 2007: 339).

1.7.7 Strategic planning

Strategic planning is concerned with formulating strategy. Bryson (cited in Theodore, 2010: 247) presents strategic planning as a set of concepts, processes and tools for shaping what an organisation (or other entity) is, what it does, and why it does it. In the end, its purpose is to promote strategic thinking, acting and learning on an ongoing basis. Thus, strategic planning takes a big picture approach that blends futuristic thinking, objective analysis and subjective evaluation of values, goals and priorities to chart a future direction and courses of action to ensure an organisation's vitality, effectiveness, and ability to add public value. For Dusenbury (cited in Sefali, 2010: 36) strategic planning is an adaptable set of concepts, procedures, tools and practices intended to help people and organisations figure out what they should be doing, how and why. The strategic planning process ensures that all role players in the organisation, amongst which, accounting officers and the executive authority have the same understanding of the objectives and outcomes to pursue.

1.7.8 Objectives

An objective is a realistic declaration of a desired situation (Craythorne and Van der Waldt et al., cited in Sefali, 2010: 42). Objectives are short-term goals derived from the mandate of an organisation in the strategic plan. The MSD's objectives are linked to National Documents such as the National Vision 2020, Medium Term Plan (MTP), Operational Plans and Sector Performance Standards (Government of Lesotho, Draft Performance Agreement Framework, 2013: 3) and NSDP 2012/13–2016/17. Objectives are simple, measurable, attainable, realistic and time-bound (SMART). They cover quantitative, qualitative, commercial, non-commercial, static and dynamic (Government of Lesotho, Draft Performance Management Policy, 2013: 3). Many organisations set goals and objectives through a formal process known as Management by Objectives, which comprise an organised and a systematic approach of defining organisational goals and realising them within the available resources. The main aim of this approach is to improve organisational performance by aligning the organisational goals with the individual objectives at all levels and attaining those goals within a prescribed period. The system involves continuous monitoring and feedback for improving the quality of outcome.

1.7.9 Performance standards

Performance standards are mutually agreed criteria to describe how well work must be done in terms of quantity, quality, timeliness and cost. Legget (2004: 236) defines a standard as a yardstick or a benchmark that is used to measure progress. It allows you to verify if conformity to the plan is achieved. Therefore, performance standards or targets are the scales that measure performance progress and attainment of organisational goals by an

individual employee during performance of his/ her duties (Legget, 2004: 237; Tilbury, 2006: 51).

1.7.10 Performance indicators

Performance indicators are types of performance measurement that evaluate the success of an organisation or a particular activity with which it engages. Performance indicators verify that a duty has been performed. In Lesotho Public Service context, ministries are required to select performance indicators from sector performance standards. This is meant to ensure that performance is measured using international best practices and that performance targets are grown to the extent of placing the country on the cutting edge of global competitiveness (Government of Lesotho, Draft Performance Management Policy, 2013: 11). Performance indicators attempt to measure or quantify performance results or outcomes.

1.7.10.1 Performance review

Performance review means a formal and systematic process by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed (Government of Lesotho, Performance Management Policy, 2009: 3-4). It is an interactive process of dialogue aiming at acknowledging good performance and correcting poor performance. Review is a mandatory process that shall take place on a six-monthly basis involving formal feedback and coaching on performance and development (Government of Lesotho, Performance Management Policy, 2005: 10).

1.7.10.2 Performance management measurement

Performance management measurement is a sub-process of performance management that focuses on the identification, tracking and communication of performance results using performance indicators. It deals with the evaluation results, while performance management deals with taking action based on the results of the evaluation and ensuring that target results are achieved (Brudan, 2010: 28). Measures allow managers to do far more than simply check progress and the behavioural consequences of measures are frequently discussed (Brudan, 2010: 32). Performance management measures quantitatively tell us something important about our products, services and the processes that produce them. They are tools to help us understand, manage and improve the performance of the organisation.

Performance management measurement is embedded within the PM, which is viewed by Bourne (2007: 29) as a key business process central to the future wellbeing and prosperity

of organisations. Performance measurement system is also explained as the information system that enables the PM process to function effectively and efficiently. Suwit, Jack and Chris (2013: 143) are of the opinion that performance measurement systems have evolved to create a means to plan, implement, and steer strategy to provide and sustain long-term competitive advantage by attaining and maintaining strategic alignment. New innovative frameworks and models are developed with a goal of gaining superior performance by using performance measurement to align all components of an organisation toward its goals.

In implementing the PMS in an organisation, it is vital to adopt the best performance measures that will contribute to effectiveness and efficiency in the delivery of services. The commonly used performance management measures in most public services and public service organisations are the Balanced Score Card developed by Kaplan and Norton; the Total Quality Management; and traditional output measures such as activity-based costing and benchmarking.

1.7.10.3 Performance evaluation

A tried and tested saying remains true today; 'if it does not get measured, it does not get done'. Monitoring and evaluation carry immense catalytic properties in augmenting programme implementation. Performance evaluation is one of the tools for measuring performance in an organisation. Since citizens demand governments to strive to achieve high levels of performance standards, there comes an expectation that tangible output must justify resources. Governments are therefore held accountable to deliver discernible quality services to its citizens. Performance evaluation enhances organisational effectiveness and efficiency. As Gorgens and Kusek (2009: 3) contend, monitoring and evaluation do advance the ideals of transparency and accountability. The authors further explain that strong monitoring and evaluation systems provide the means to compile and integrate valuable information in to the policy cycle, thus providing the basis for sound governance and public policies that are accountable. According to the Government of Lesotho's Draft Performance Management Policy (2013: 22), performance evaluation is the culmination of the process of performance contracting. This will be carried out by independent experts drawn from outside the public service to ensure objectivity and to enhance the integrity of the results and because a government should not be seen to evaluate its own performance. The MSD compute progress reports against objectives through quarterly and annual reports to monitor and evaluate performance and service delivery within the ministry (Lesotho, Public Service Regulations, 2008: 951).

1.7.10.4 Public service

The public sector in Lesotho comprises the central government, the Central Bank of Lesotho, and all enterprises with majority state ownership such as the Lesotho Electricity Corporation, Water and Sewerage Corporation, Lesotho Revenue Authority and Lesotho Highlands Development Authority (Lesotho Country BTI Report, 2012: 12). “Public service means the service of the King in respect of the government of Lesotho” (The Constitution of Lesotho, 1993: 141). For the purpose of this study, the concept of *public service* denotes the public administrative machinery, which the Lesotho government utilises to implement developmental goals, objectives and policies for effective public service delivery and improved public service performance. Examples include the 23 government ministries and five agencies. Public services that the Lesotho Government provides include military services, police services, public education, social development services, health services and roads (Kingdom of Lesotho, 2009: 5-6).

Lesotho Public Service is an organisation that provides public goods and services to the public such as roads, public health services and public education (Kingdom of Lesotho, 2009: 5). Lesotho Public Service is composed of 23 government ministries and 5 agencies. All government ministries are headed by a minister and some have deputy ministers. The Principal Secretary is the Chief Accounting Officer in a government ministry and is deputised by the Deputy Principal Secretary, followed by directors of different departments and managers. The chairpersons of the commissions, who act as Chief Accounting Officers (Lesotho Country BTI Report, 2014: 8), head government agencies. Each government ministry and agency is mandated to provide goods and services to the society, depending on their mandate (Kingdom of Lesotho, 2009: 15).

1.7.10.5 Service delivery

Service delivery is a continuous process for developing and delivering user-focused services, defined by user engagement, service design and development, service delivery, evaluation and improvement. Service delivery within a public service is a product or activity that meets the needs of a user, or can be applied by a user. Service delivery is receiving services as effectively and quickly as possible to the intended recipient and in most instances, service delivery implies a degree of excellence. To be effective, services should possess these attributes:

- Available and timely: at time and space scales that the user needs;
- Dependable and reliable: delivered on time to the required user specification;
- Usable: presented in user specific formats so that the client can fully understand;

- Useful: to respond appropriately to user needs;
- Credible: for the user to confidently apply to decision-making;
- Authentic: entitled to be accepted by stakeholders in the given decision contexts;
- Responsive and flexible: to the evolving user needs;
- Sustainable: affordable and consistent over time; and
- Expandable: to be applicable to different kinds of services.
- Service delivery is a continuous, cyclic process for developing and delivering user-focused services.

1.8 CHAPTER OUTLINE

The study was organised into six chapters.

Chapter 1 introduced the research approach. It highlighted the introduction, background to the study, rationale for the study, significance of the study, aim and objectives for the study, research methodology, and an explanation of terms, chapter outline and conclusion.

Chapter 2 provided an overview of the theoretical framework of performance management. This chapter dealt with the literature review based on distinguished opinions and views from various sources and from different researchers and authors whose work was significant in this study. Chapter 2 addressed Objective 2 of this research, i.e. to provide an overview of the theoretical framework of performance management.

Chapter 3 addressed Objective 2. This chapter documents the legislative framework, policies and strategies in support for the implementation of the performance management system in the MSD, more so it also shows how the current PMS in the MSD is implemented.

Chapter 4 outlined in details the research methodology employed in the study.

Chapter 5 addressed Objective 4, to identify challenges that impeded the implementation of the performance management system in the MSD since 2000 to 2014 by means of empirical research.

Chapter 6 proposed strategies to be employed for improving the implementation of the PMS in the MSD and addressed the last objective of this research.

1.9 CONCLUDING REMARKS

The research proposal chapter presented introductory remarks, which clearly explained the topic and introduced it so that the reader was familiar with what would follow. This was followed by a motivation as to why the topic justified research and the background for the study. The significance and the rationale for conducting a research were clearly explained. This followed the main aim of the study, which described in a clear, concise and understandable manner that which the researcher wanted to achieve was elucidated. This was followed by a set of objectives which stated the *how* part of the study – how to achieve the main aim. The research methodology that the study would adopt was explicated and it consisted of a methodology, data collection instruments and statistical processing. The test of validity and reliability, ethical considerations and demarcation of the study were also clarified, followed by an explanation of terms related to the topic, and finally providing a chapter outline and the expected outputs.

CHAPTER 2: OVERVIEW OF THE THEORETICAL FRAMEWORK OF PERFORMANCE MANAGEMENT

2.1 INTRODUCTION

The aim of Chapter 2 is to provide a holistic overview of the theoretical framework of performance management. The discussion will commence with an evolution of performance management in Section 2.2. The following Section 2.3 looks at the models and theories supporting the implementation of PM. The relevant theories of PMS that are introduced are the (i) organisational theory, (ii) contingency theory, (iii) systems theory, (iv) goal-setting theory, (v) agency theory and (vi) social learning theory. Section 2.3 concludes with an introduction to the three levels in the organisations (Section 2.3.2); that is, (i) strategic/organisational PM level, (ii) operational/functional/team PM level and (iii) individual PM level (depicted in Figure 2.2 Integrated Performance Management Model). In Section 2.3.3, the new approaches to performance management is discussed as the traditional method for improving employee engagement and productivity on the job, is no longer effective.

Against this background, the performance management process is discussed in Section 2.4. PM process focuses on a predictable set of variables involving some variations on establishing performance goals for employees, assessing performance and providing feedback. In this section, the eight steps of PM process is discussed briefly. Several additional implementation steps are necessary. In Section 2.5, the 10 steps involved in implementing a PM programme in organisations are outlined. The last part of Chapter 2 outlines the literature on PM and PMS derived from completed dissertations and theses from 2007–2014 that are related to the topic of research. This section will conclude with a literature review of current research on publications on PM and PMS in various African countries.

2.2 EVOLUTION OF PERFORMANCE MANAGEMENT

The global perspective on the background of PM and PMS can be traced back from the Industrial Revolution in the 18th and 19th century (1820-1870). The Industrial Revolution started in the United Kingdom and subsequently spread throughout Europe, North America, and eventually the rest of the world (Kelly, 2007). *Industrial Revolution* simply means a change from hand and home production to machine factory (Kelly, 2007). It is a transition from hand production methods to machines, new chemical manufacturing and iron production processes, improved efficiency of waterpower, increasing the use of steam power and the development of machine tools. America, for instance, entered the Industrial

Revolution as a result of the passing of the Embargo Act (no. 1 of 1807) and the War of 1812 (Kelly, 2007). It involved three important developments, namely the expansion of transportation, effectively harnessing electricity and improving industrial processes such as improving the refining process and accelerating production. The Industrial Revolution changed societies and the economies developed into modern urban-industrial states (Kelly, 2007: 1).

Around the 1900s, different scientists developed scientific management as a form of industrial engineering that established the organisation of work and amongst these was Frederick Winslow Taylor, who devised a system called “Scientific Management” in 1909 (Kelly, 2007). Briefly, scientific management sought to improve an organisation’s efficiency by systematically improving the efficiency of task completion by utilising scientific, engineering and mathematical analysis. The goal was to reduce waste, increase the process and methods of production and create a just distribution of goods (Kelly, 2007: 2).

Taylor’s scientific management proposed that by optimising and simplifying jobs, productivity would increase. He also advanced the idea that workers and managers needed to cooperate with one another, which was quite different from the way work was done before. During that period, a factory manager had little contact with the workers and left them on their own to produce the necessary product. There was no standardisation and worker’s main motivation was often continued employment, so there were no incentives to work as quickly or as efficiently as possible (Kelly, 2007: 2).

Taylor believed that workers were motivated by money and as a result, he promoted the idea of “a fair day’s pay for a fair day’s work” (Kelly, 2007: 7). This means that if the worker did not achieve enough in a day he did not deserve to be paid as much as another worker who had been highly productive. Taylor was very interested in efficiency and during his work in the US Steel Manufacturing, he designed workplace experiments to determine optimal performance levels. In one experiment, he experimented with a shovel design until he had a design that would allow workers to shovel for several hours straight. With bricklayers, he experimented with various motions required and developed an efficient way to lay bricks. Taylor also applied the scientific method to study the optimal way to do any type of workplace task. As such, he found that by calculating the time needed for the various elements of a task, he could develop the best way to complete that task. These “time- and-motion” studies led Taylor to conclude that certain people could work more efficiently than others did, and as a result, he developed four principles of scientific management known as “Taylorism”:

- i) Replacing working by “rule of thumb” by the scientific method to study work and determine the most efficient way to perform specific tasks, i.e. gathering information, analysing it and reducing it to rules, laws and mathematical formulas.
- ii) Rather than simply assign workers to just any job, match workers to their jobs based on capability and motivation and train them to work at maximum efficiency (selection and training).
- iii) Monitor worker performance and provide instructions and supervision to ensure that they are using the most efficient ways of working.

From Taylor’s work, many modern theorists gained more knowledge in terms of generating the principles from which they act in the management of people at the work place nowadays. Such theorists who credit Taylor include Edward Deming. Scientific management theory is important, because its approach to management is found in almost every industrial business operation across the world. Its influence is also felt in general business practices such as planning, process design, quality control, cost accounting and ergonomics (Kelly, 2007: 10).

However, it is worth noting that “Taylorism” is not practised today due to its criticisms as levelled by theorists. Moreover, Taylorism is in opposition to current practices such as teamwork, because it breaks down tasks into tiny steps and focuses on how each person can do his/her specific series of steps best. Contrary to Taylorism, modern practices prefer to examine work systems more holistically in order to evaluate efficiency and maximise productivity. It is also argued that the extreme specialisation that Taylorism promotes is contrary to modern ideals of how to provide a motivating and satisfying workplace. Critics of Taylorism argue that it promotes the idea that there is “one right way” of doing something and as such, it is at odds with current approaches of PM and PMS methods such as Management by Objectives (MBO), Continuous Improvement Initiatives, 360-degree evaluation and Business Process Re-engineering. Critics advance that these new approaches promote individual responsibility and seek to push decision making through all levels of the organisation. Taylorism was criticised for separating manual from mental work, whereas modern productivity enhancement practices seek to incorporate workers’ ideas, experience and knowledge into best practice. Scientific management in its pure form focuses too much on the mechanics and fails to value the people side of work whereby motivation and workplace satisfaction are key elements in an efficient and productive organisation.

This system, along with those in Ford’s assembly line and those in the Western Electric Hawthorne Works in the 1920s, helped move to management theory from early time-and-motion studies to the latest total quality control ideas such as Total Quality Management

(TQM), Benchmarking and Six Sigma, which were developed in the United States and Europe in response to the momentum to drive quality improvement to compete with rising global competitors such as Japanese firms (Naisbitt, 2006: 26). This move from traditional management practices is viewed by Davidson (2007: 36) as a one-off (silver bullet) transformation of the management processes (Naisbitt, 2006: 26). Amongst other authors who developed the scientific management were Frank Gilbreth and Lillian Gilbreth, who developed scientific management while working in the construction industry (Kelly, 2007). These two authors developed the motion studies independently of Taylor. These logically complemented Taylor's time studies, as time and motion are two sides of the efficiency improvement coin (Kelly, 2007). The two studies eventually became time and motion study (Naisbitt, 2006: 26).

Historically, PM, according to Armstrong (2009: 2), can be traced to the early 1960s when the performance appraisal systems were in practice. During this period, Annual Confidential Reports (ACRs), which were also known as "Employee Service Records" were maintained for controlling the behaviours of the employees and these reports provided substantial information on the performance of the employees (Armstrong, 2009: 2).

Armstrong (2009: 3) reveals that the second phase of the evolution of the PMS continued from the late 1960s till early 1970s, and the key hallmark of this phase was that whatever adverse remarks were incorporated and communicated to the employees so that they could take corrective actions for overcoming such deficiencies (see Table 2.1). In this process of appraising the performance, the reviewing officer used to enjoy a discretionary power of overruling the ratings given by the reporting officer. The employees usually used to get a formal written communication on their identified areas of improvements if the rating for any specific trait used to be below 33% (Armstrong, 2009: 3).

Later on, the term Annual Confidential Reports as Armstrong (2009: 4) explicated, was replaced by performance appraisal. The employees were allowed to describe their accomplishments in the self-appraisal forms at the end of the year. Besides inclusion of the traits in the rating scale, several new components were considered by many organisations that could measure the productivity and performance of an employee in quantifiable terms such as targets achieved, and so on. Certain organisations also introduced a new section on training needs in the appraisal form (Armstrong, 2009). However, the confidentiality element was still maintained and the entire process continued to be control-oriented instead of being development- oriented.

In the mid-1970s, great business tycoons like Larsen and Toubro, followed by the State Bank of India and many others introduced appreciable reforms in this field (Armstrong, 2009: 4). In this phase, the appraisal process was more development-driven, target-based (performance-based), participative and open, instead of being treated as a confidential process (see Table 2.1). The system focused on performance planning, review and development of an employee by following a methodical approach. In the entire process, the appraisee (employee) and the reporting officer mutually decided upon the key result areas at the beginning of the year and reviewed it after every six months (Armstrong, 2009: 4). During the review period, various issues such as factors affecting the performance, training needs of an employee, newer targets and the ratings were discussed with the appraisee in a collaborative environment. This move was a welcoming change in the area of performance management and many organisations introduced a new Human Resources (HR) department for taking care of the developmental issues of the organisation.

PMS was characterised by maturity in approach of handling people's issues in the 1980s and 1990s (Armstrong, 2009: 4). It was more performance driven and the emphasis was on development, planning and improvement. The utmost importance was given to culture building and team appraisals, and quality circles were established for assessing the improvement in the overall employee productivity.

Other management control tools developed in the 1980s and 1990s, as Kaplan and Johnson (cited in Suwit et al., 2013: 143) contend, included performance management measures such as the balanced scorecard (BSC), activity-based costing, target costing, benchmarking, budgeting, capital budgeting and programme management techniques (Anthony, 2007: 72). Armstrong (2009: 5) is also of the opinion that the development of the PMS was an era characterised by development processes, planning and improvement. It was during this time when culture building, team appraisals and quality circles were established for assessing the improvement in the overall employee productivity. Table 2.1 presents a summary of the international development of performance management.

Table 2.1: International historical development of Performance Management

PERIOD	INTERNATIONAL APPROACH	RESULT(S)
Early 1960s	Annual Confidential Reports	Controlled behaviour of employees Availability of information on employee performance
Late 1960s and early 1970s	Development of performance reports	Feedback on employee performance
Mid 1970s	Performance appraisals	Employee performance measured
1980s and 1990s	Performance development, planning, improvement, culture building, team appraisals and quality circles	Improved employee productivity

Source: Developed by the researcher for purpose of this study

In the next paragraphs, models and theories supporting the implementation of PM will be discussed.

2.3 MODELS AND THEORIES SUPPORTING THE IMPLEMENTATION OF PM

Models as defined by Ritchey (2012: 10) are the representation of a system that allows for investigation of the properties of the system and some cases prediction of future outcomes. They provide a framework for describing and classifying (i.e. morphing) variations in modelling types (Ritchey, 2012: 14). Ritchey (2012: 15) further elaborates that models are a conceptual representation of some phenomenon and are often used in quantitative analysis and technical analysis and sometimes used in fundamental analysis.

Due to the intricacies surrounding the concept of performance management system, various authors explain the concept in their own ways using different models. Mabey (2003), cited in Wachira (AAPAM, 2012: 3) views performance management as a process of establishing a framework in which performance by individuals can be directed, monitored, motivated and refined. Mabey (2003) prescribes the model of performance management system in the form of 'performance cycle'. This cycle has five elements, which suggest how performance management system should be implemented in an organisation. The elements of performance management system include setting objectives, measuring the performance, feedback of performance results, reward system based on performance outcomes and amendments to objectives and activities (Mabey, Christopher, Salaman, Graeme, Storey and John, cited in Aguinis, 2009: 15).

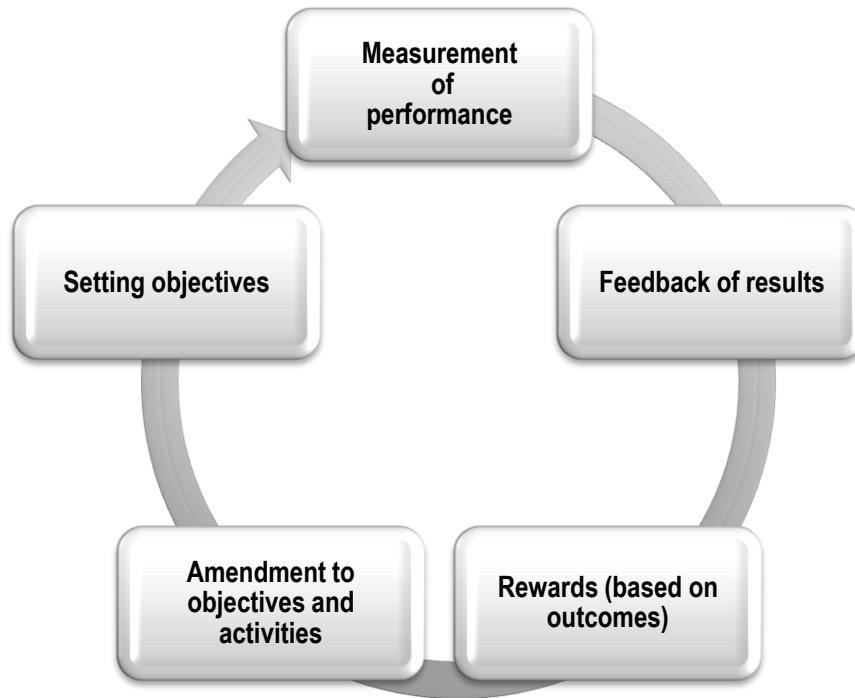


Figure 2.1 The Performance Cycle

Source: Adapted from Mabey et al., cited in Aguinis, 2009

Figure 2.1 depicts the performance cycle in an organisation. Every organisation computes the PM cycle by firstly setting organisational objectives, which are short-term goals derived from the organisation’s mission. They are aligned to individual objectives in order to attain high levels of performance. There has to be a performance measurement system in place to assess organisational performance based on set goals and objectives. Such measurement system assists the organisation to evaluate its performance. Individual employees are assessed through the appraisal system and feedback on progress made is provided in order to determine the rewards of employees (i.e. promotion and salary increase). After evaluation of employee performance, discrepancies are identified and rectified through the amendment of objectives or activities and the performance cycle continues.

The model relevant to this study is the Integrated Performance Management model (Figure 2.2). Bouckaert and Halligan (2008: 28) describe their model as a “comprehensive and integrated performance management framework”. This model seems to be favoured by both academics and consultants. This model, when implemented successfully, engages stakeholders, contributes to the legitimacy of government as a key provider of services and it is used to predict customer behaviour. Those using this approach rely on externally developed performance frameworks, such as Balanced Scorecards, ISO 9000 standards, the European Framework for Quality Management or country-specific, homegrown models such as the Canadian Management Accountability Framework.

According to Bouckaert and Halligan (2008: 33), this model is where “performance information is systematically and coherently generated, integrated and used” and “Information produced by performance measurement systems becomes part of a process of management and ultimately of governance.” They also observe interplay among three dynamics, namely political legitimacy, technical design and functional processes. Auditing a performance measurement system is one way to produce and maintain legitimacy between the executive and legislative branches. Another way is to create ownership by administrative stakeholders by having them co-design their performance measurement systems, citizen involvement in an operational performance measurement system is another way to corroborate the legitimacy of performance information.

This in turn results in a shift from a closed to an open measurement system and from a top-down and bottom-up system. Bouckaert and Halligan (2008: 35) note that, “performance measurement systems should contribute to the legitimacy of the public sector itself”. For reasons of political legitimacy, performance measures should become more subject to independent controls (audits), be more bottom-up (from front line) and more external (citizens, stakeholders) in their design and implementation.

Integration between the performance management levels is preferred (Figure 2.2) as it will enable better outcomes for organisations and it act as a catalyst for the establishment of a standalone discipline that in turn will accelerate advances in academic research. Figure 2.2 shows the integrated performance management model.

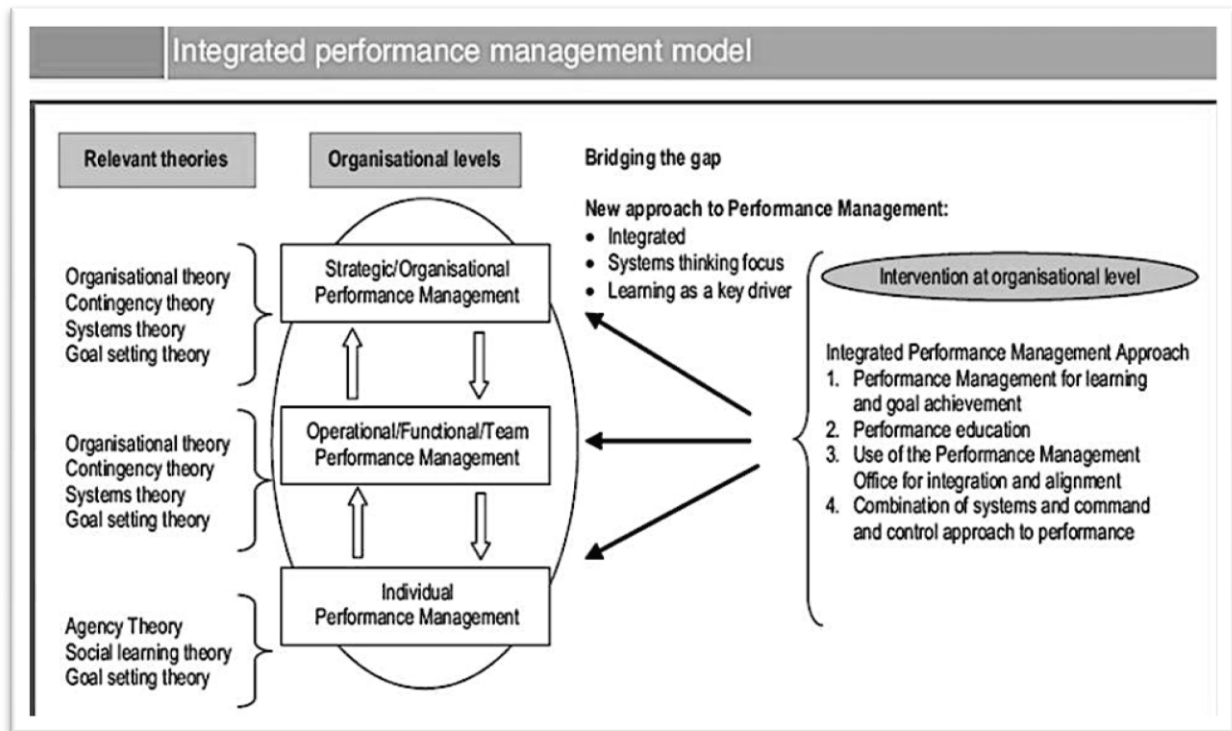


Figure 2.2 The Integrated Performance Management Model

Source: Brudan (2010: 6).

Figure 2.2 depicts the IPMS model. It shows levels of organisation, which starts from individual PM, Operational PM and Strategic PM. At the individual PM level, relevant theories are the agency theory, social learning theory and goal-setting theory. At the Operational PM level, relevant theories are organisational theory, contingency theory, systems theory and goal setting theory. At the strategic PM level, relevant theories are organisational theory, contingency theory, systems theory and goal-setting theory. All these theories will be explained later in this section. Integration between all the three levels is crucial as this is where organisational information passes; thus, communication is enhanced and the PMS becomes effective. At all organisational levels there is a need to provide education on the use of PM and systems involved for its implementation. Learning about PM helps in goal achievement at all levels of the organisation. The use of PM has to be disseminated across all levels and be aligned to the organisation’s mission, goals and objectives for attainment of desired levels of performance. Employees at all levels frequently have to make use of the HR office, which coordinates PM of organisations. The HR office commands and controls PM systems within organisations.

Integrated performance management refers to an alignment of different components of performance management such as a strategic plan and a budget in an organisation (Verweire, K. and Van Den Berghe, L., 2004: 9). Integrated performance management is

critical to improving the organisation's real-time analysis of performance and providing insights for decisions across the organisation. Barrett (2007: 7) opines that in essence integrated performance management demands that performance management initiatives should be linked to a budget of "financial forecasts" and strategic plans. Integrated performance management involves exploitation of synergies between strategic planning, budgeting and performance reporting. For Moodley (2003: 28), integrated performance management should be practised in such a way that it "aligns the processes of performance management to the strategic planning processes of the organisation in a manner that ensures that plans that are derived from the corporate strategy are in harmony with the work plans or "performance plans".

Stringer (2007: 93-94) submits that integrated performance management refers to amalgamation of performance elements, such as; objectives, strategies, targets, rewards, information flows, budgets, transfer pricing, capital expenditure and performance evaluation. Stringer (2007: 94) further states that integrated performance management strives to bring together all the performance elements in order to have a unified operation for the best result. Therefore, integrated performance management is a combination of performance elements into one unified system (Stringer, 2007: 94). Figure 2.2 above depicts relevant theories of PMS and these are: (i) organisational theory, (ii) contingency theory, (iii) systems theory, (iv) the goal-setting theory proposed by Edwin Locke in 1968, (v) agency theory and (vi) social learning theory. The next paragraphs provide a brief explanation of the above- mentioned PMS theories.

2.3.1 Supporting theories

2.3.1.1 Organisational theory

For McAuley, Duberly and Johnson (2007: 66), organisational theory studies organisations as a whole, the way they adapt, as well as the strategies and structures that guide them. These authors consider organisation theory rational, information-based, efficiency-oriented, and concerned with determinants of control strategy and distinguish between two types of performance evaluation control: behaviour-based and outcome-based. The organisational theory compares ability and evaluation process. In organisational theory, reward is implicit; it can reduce divergent preferences through social control and uses information as a purchasable commodity. Thus, performance management is one of the factors that affect the overall performance of organisations. It is usually linked to a performance reward system; especially when financial incentives are tied to performance appraisal, which evaluates individual performance and improves the performance of organisations. Performance

management is viewed as a process of connecting employee performance to the overall performance of an organisation.

McAuley et al. (2007: 56) argue that a lot of research on performance comes from organisational theory and strategic management. McAuley et al. (2007: 56) further argue that in organisational theory, three fundamental theoretical approaches to measuring organisational effectiveness have evolved: the goal-based approach (which suggests that an organisation is evaluated by the goals that it sets for itself), and the system approach (which partially compensates for the weaknesses of the goal-based approach by considering simultaneous achievement of multiple, generic performance aspects). The literature revealed that both approaches fail to account adequately for differences between stakeholder groups' perspectives on performance (McAuley et al., 2007: 56). The last approach is the multiple-constituency approach, which factors in these differences in perspectives and examines the extent to which the agenda of various stakeholder groups are satisfied. In the case of the PMS, organisations set goals that will be achieved within certain timeframes. These goals are aimed at improving effectiveness and efficiency in the delivery of services within the organisation. These goals are derived from the organisation's strategic plans, which encompass the vision and mission statements.

2.3.1.2 Contingency theory

The contingency theory as Bacher (2005: 2) postulates, provides the foundation to combine both the idea of human resource and the classical thought, it considers management decision contingent on the demands of the employees and adapts classical management to a more flexible and uncertain environment. For Bacher (2005), contingency theory takes account of the circumstances in one situation at one point in time thereby allowing multiple ways of doing things to fit different circumstances. For Donaldson (2006: 19-40), contingency theory presently provides a major framework for organisational design.

The contingency theory of organisations has its essence in the paradigm that organisational effectiveness results from fitting characteristics of the organisation (structure) to different contingencies such as environment, organisational size and strategy. Overall, various versions of contingency theory emphasise the importance of task characteristics, especially task programmability for the choice of control strategy (Bacher, 2005: 4). The existence of "people" or social control is an alternative to control through performance evaluation. In contrast to the classical scholars, most theorists today believe that there is no one best way to organise. What is important is that there is a fit between the organisation's structure, its

size, its technology and the requirements of its environment (Halsall, 2008: 55). This perspective is known as the contingency theory.

2.3.1.3 Systems theory

A subset of organisational theory is considered to be a systems theory, which includes a series of variations such as Von Bertalanffy's (1956) General Systems Theory; Mulej's Dialectical Systems Theory; Flood and Jackson's (1995) Critical Systems Thinking, or Beer's (1984, 1985) Viable Systems Theory. System theory opposes reductionism and promotes holism. Rather than reducing an entity (e.g. organs or cells), systems theory focuses on the arrangement of and relations between the parts which connect them into a whole (Halsall, 2008: 29-30). According to Halsall (2008: 31), Von Bertalanffy's systems theory focuses on different organisations of systems and on questions about their functions and outputs. It also distinguishes systems both from their environment and from structures that are not systems. Systems theory acknowledges complexity as an attribute of reality and focuses on synergy and the combination analysis and synthesis. Systems theory considers organisations as systems with relative boundaries, which make exchanges with the environment and must adapt to environmental changes in order to survive (Halsall, 2008: 187). They are open systems, which interact directly with the environment through inputs and outputs.

Performance management is viewed as part of a systems theory in an organisation. It means that employee performance is managed and developed through interrelated dynamics. The PMS consists of systems of performance measurements (i.e. balanced score cards, activity-based costing, benchmarking, etc.) and monitoring the achievements of goals through key performance indicators (Willie, 2014: 111-121). The systems theory is characterised by five principles, namely personal mastery, shared vision, mental models, team learning and employee identification. These principles are employee oriented, meaning that each is determined and shaped by employee performance, motivation and behaviour, thus making the PMS more effective.

2.3.1.4 Goal-setting theory

The proponent of this theory, Dr Edwin Locke, contends that goal-setting theory is a powerful way of motivating people and motivating yourself. The value of goal setting is so well recognised that the entire management systems, like Management by Objectives have goal setting basics incorporated within them (Locke, 2004: 19). Goal setting is generally accepted among the most valid and useful motivation theories in industrial and organisational psychology, Human Resource Management and Organisational behaviour

(Locke, 2004: 19). Thus, many people have learned to set SMART goals, by setting a goal that is Specific, Measurable, Attainable and Relevant, and Time-bound.

Locke and Latham's (2002) goal-setting theory, which is one of the most effective motivational theories, was formulated inductively based on empirical research conducted over nearly four decades. Its roots are based on the premise that conscious goals affect action (where goals are considered the object or aim of an action). While goal-setting theory is generally analysed at individual level, its principles are considered relevant at organisational level too (Locke, 2004: 19). Locke (2004: 19) further argues that goal setting is effective for any task where people have control over their performance. Research in this field currently explores goal-setting theory at both individual and organisational level. In organisational context, personal empirical observations highlight that the goals of individuals, teams and entity as a whole can be in conflict. Goal conflict can motivate incompatible actions and this has the potential to impact performance. Thus, alignment between individual and group goals is important for maximising performance.

In his research article of 1968 entitled "Toward a Theory of Task Motivation and Incentives", Dr Edwin Locke states that employees are motivated by clear goals and appropriate feedback (Locke, 1968: 157-189). Locke continues that working towards a goal provides a major source of motivation actually to reach the goal, which, in turn, improves performance. Briefly, goal-setting theory is a useful technique used to raise incentives for employees to work quickly and effectively, leading to better performance by increasing motivation and efforts, but also through increasing and improving the feedback quality. In order to motivate, goals must have five principles: clarity, challenge, commitment, feedback and task complexity (Locke, 1968: 157-189). All these five principles help make goals in an organisation to be SMART, which denotes that they are specific, measurable, attainable, realistic and time-bound.

2.3.1.5 Agency theory

Agency theory originated from the work of Adolf Augustus Berle and Gardiner Coit Means, who discussed the issues of the agent and principal as early as 1932. They explored the concepts of agency and their applications in the development of large corporations (Omari, Mayogi and Guyo, 2014: 1460). These authors saw how the interests of the directors and managers of a given firm differed from those of the owner of the firm, and used the concepts of agency and principal to explain the origins of those conflicts. The theory describes the relationship between one party, called the principal, which delegates work to another, called the agent. The theory essentially acknowledges that different parties involved in a given

situation with the same given goal will have different motivations, and that these different motivations can manifest in divergent ways. It states that there will always be partial goal conflict among parties; efficiency is inseparable from effectiveness; and information will always be somewhat asymmetric between principal and agent (Omari et al., 2014: 1460).

The issue of delegation used by the agency theory is an example of an organisational structure where each member of staff within the organisation is tasked to perform certain duties. Organisational structure paves the way for responsibility and power to be allocated inside an organisation and the work procedures by employees. Omari et al. (2014: 1460) contend that the basic element of organisational structure involves hierarchy, authority, division of labour and procedure. The authors further posit that organisational structure divides tasks and ensures coordination; it trades off specialisation and integration and provides a basis for either centralisation or decentralisation.

2.3.1.6 Social learning theory

The social learning theory proposed by Albert Bandura has become perhaps the most influential theory of learning and development (Bandura, 1971: 2). While rooted in many of the basic concepts of traditional learning theory, Bandura believed that direct reinforcement could not account for all types of learning (Bandura, 1971: 9). Bandura's (1971: 3) theory added a social element, arguing that people can learn new information and behaviours by watching other people. Known as observational learning (or modelling), this type of learning can be used to explain a wide variety of behaviours.

There are three core concepts at the heart of social learning theory. The first is the idea that people can learn through observation, called observational learning. Next is the idea that internal mental states are an essential part of this process – intrinsic reinforcement (pride, satisfaction and a sense of accomplishment) (Bandura, 1971: 9). Finally, this theory recognises that just because something has been learned, it does not mean that it will result in a change in behaviour.

With respect to PMS, it could be argued that different countries adopt different PMS models depending on which one best suits them. Countries of the world, including Lesotho, learn from one another in order to develop, as is the case with PMS. Various countries adopt certain theories, models or types of PMS that had a success history when practised in other countries; thus, the theory of social learning holds. The following paragraphs will highlight levels of organisational Performance Management, new approaches to PM, the PM process and the PMS implementation.

2.3.2 Levels of the organisation

There are generally three levels in the organisations, namely strategic/organisational PM level, operational/functional/team PM level and individual PM level (Brudan, 2010: 6) (depicted in Figure 2.2 is the Integrated Performance Management Model). In PM literature, organisational PM is referred to as a tool or system that aligns all organisational processes within the existing strategic imperatives within an organisation (Kaplan and Norton, 1992, 1996; Neely, Adams and Kennerly, 2002; Franco and Bourne, 2003, cited in O'Boyle and Hassan (2013: 52). The authors point out that this system must be underpinned by effective leadership and competencies from senior management (Arnold, Fletcher and Molyneux, 2012; Fletcher and Arnold, 2011); a culture that is focused on performance improvement as opposed to punishment for poor performance; involvement from and communication with stakeholders; and constant monitoring, feedback, dissemination and learning from results (Anthony and Ogden, 2009; De Waal, 2003).

Strategic/Organisational PM level

Strategic PM level is the level where strategic decisions of the organisation are made and it consists of top officials such as Chief Executives, Directors and Managers. These people determine how organisations operate, systems to be used (type of PMS and PM measurement), the resources required, the funds needed, the type of services offered and clients served. Top officials of the organisation also determine performance standards and goal setting to ensure that the organisation attains the highest possible level of performance.

Operational/Functional/Team PM level

This is where all activities of the organisation are implemented to pursue its mandate. This level is equated to the organisation's department where teamwork is mostly realised. At the departmental/team PM level, employees set team/departmental goals and objectives along those of the organisation to achieve set performance standards.

In every organisation, effective teams form the heart of successful organisations. Team performance management is the concept of adjusting the composition, context or direction of a team or work group in order to increase the effectiveness of the team or group as measured by organisational benchmarks for teams and comparison with expected progress or outcomes of the team's work (Human Resource Management Standard Operations Guide, 2012: 45). PM helps managers to manage effectively by ensuring that the teams they are responsible for know and understand what is expected of them; have the skills and ability to deliver on these expectations; are supported by the organisation to develop the capacity to meet these expectations and are given feedback on their performance. Finally,

teams have the opportunity to discuss and contribute to individual and team aims and objectives that leads to high levels of organisational performance.

Individual PM level

Individual PM involves individuals within the organisation establishing performance standards and setting individual goals, which can be short-term or long-term, and these are derived from the organisation's mission, goals and objectives. Setting individual goals ensures that the desired level of performance within the organisation is achieved. Individual performance is monitored through performance discussion to ensure that activities are implemented by individuals conform to set performance standards and targets. Performance of individuals within the organisation is measured to determine organisational performance. Measurement systems used to measure individual performance contribute to the evaluation of organisational performance. Measurement systems usually involve an appraisal system and feedback on individual progress based on set performance standards. This assessment helps HR to determine employees' reward system such as promotion, recognition incentives (awards) and salary increase.

2.3.3 New approaches to performance management

Stuart, Partner and Dawson (2014: 2) contend that PM – the traditional method for improving employee engagement and productivity on the job – is simply outdated and no longer effective. This point is supported by Pulakos (2009: 3), who views it as the “Achilles' heel” of human capital management regarded to be the most difficult HR system to implement in organisations. Pulakos explains that PM is rated as the lowest, if not the least, in the area of employee survey; yet, work is done through the key process. In advocating PM, Stuart et al. (2014: 2) maintain that instead of annual one-sided conversations used for assessing employees' performance in the context of what the organisation wants them to do; leading organisations are beginning to adopt new, better strategy for employee development and retention – Career Management. For these authors, Career Management recognises that employees expect more from employment than just a job; they expect to build skills through experiences so they can further their cases. Career Management has the ability to explore and create options, which make it an ideal retention strategy.

Stuart et al. (2014: 2) point out that Career Management is about matching each employee's evolving interests and competencies with opportunities in an organisation. In Career Management, employees take ownership of their professional development, management facilitates the process and the organisation provides support. Career Management is an effective means of talent planning, which involves revealing the number of people with the

right skills to execute strategies effectively and meet succession needs. The authors further highlight that Career Management is a way to align employee development with evolving requirements so to retain talent better and create a new generation of leadership candidates. Career management defines values of the next generation of employees and is involved in defining the challenges they seek, developing the skills they want, creating satisfying work and opportunities to give frequent feedback.

For Brudan (2010: 6), the new approach to PM involves integration between PM levels, which produce better outcomes, system-thinking focus and learning as a key driver in PM implementation. Another view on the critique of PM is supported by research conducted in 2013 at Cargill (an international producer and marketer of food, agricultural, financial and industrial products and services) intended to determine the effectiveness of PM. The research recommended that new approaches to PM should revolve around three principles:

- i) Focus on everyday PM practices, such as on-going, high-quality discussions between employees and managers.
- ii) Strengthen PM-related capabilities of managers and employees.
- iii) Simplify PM process and forms (including eliminating formal performance appraisal ratings (Pulakos and Hanson, 2014: 11)

2.4 THE PERFORMANCE MANAGEMENT PROCESS

According to Management Study Guide Experts (2013: 1), a PM process sets the platform for rewarding excellence by aligning individual employee accomplishments with the organisation's mission and objectives, and making the employee and the organisation understand the importance of a specific job in realising outcomes. By establishing clear performance expectations, which includes results, actions and behaviours, it helps the employees in understanding what exactly is expected out of their jobs. By setting performance standards, managers are able to identify which jobs are relevant and to eliminate those that are not relevant. Through regular feedback and coaching of employees, PM provides an advantage of diagnosing the problems at an early stage and taking corrective actions. PM can be regarded as a proactive system of managing employee performance for driving the individuals and the organisations towards desired performance and results. It is about striking a harmonious alignment between individual and organisational objectives for accomplishment of excellence in performance (Management Study Guide Experts, 2013: 1).

The performance management process comprises three main activities stated below, as postulated by Zigarmi, Nimon and Shuck (2014: 17);

- i) Performance planning, where goals are set and standards established.
- ii) Day-to-day coaching, which is an interaction managers have with their direct reports, where leaders monitor performance and facilitate progress through coaching and feedback.
- iii) Performance evaluation, which is the traditional annual performance review where employee performance is evaluated against yearly goals.

For Pulakos (2009); Armstrong (2000); Cardy (2004); Das (2003); and Murphy and DeNisi (2008), PM process is best explained using numerous models, most of which focus on a predictable set of variables involving some variations on establishing performance goals for employees, assessing performance and providing feedback. There are usually sequence of stages or activities such as performance agreement/goal setting, performance monitoring/facilitation, performance appraisal and feedback and improved performance (Armstrong, 2000; Pulakos, 2009). In the following paragraphs, the eight steps of PM process (Figure 2.3) are discussed briefly (Pulakos, 2009: 38).

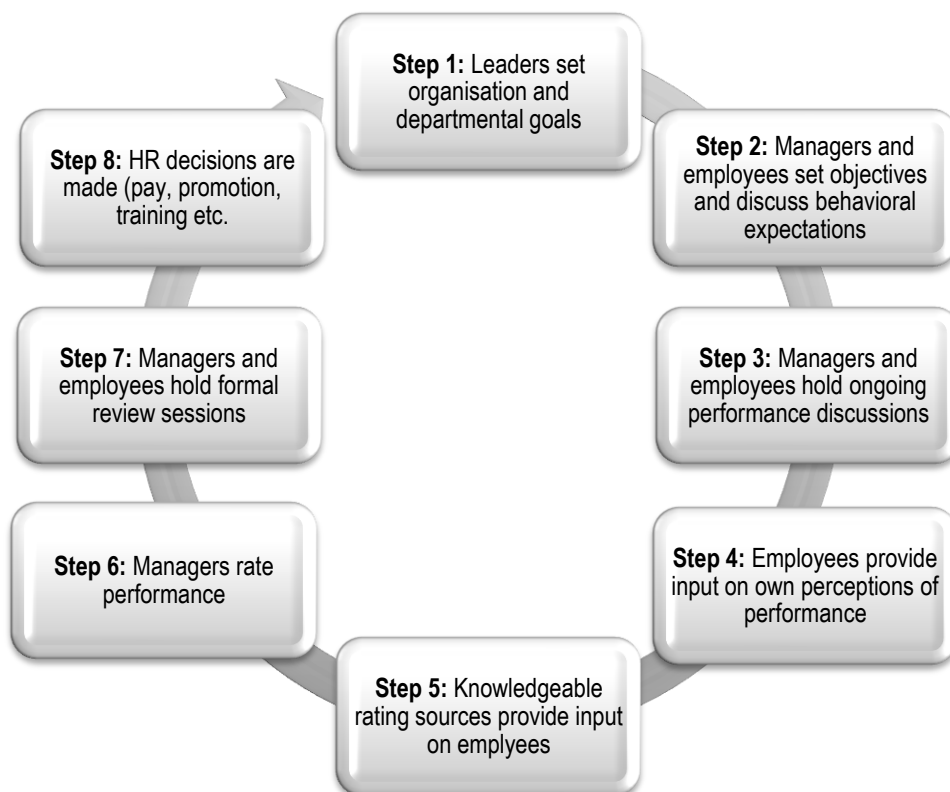


Figure 2.3: The Performance Management Process

Source: Pulakos (2009: 38).

Pulakos (2009: 43-84) explains eight steps of performance management process that are very relevant to this study. They are shown below. During Step 1, leaders set organisational,

divisional and departmental goals (Figure 2.3). The best practice advocated in the PMSs is the establishment of a hierarchy of goals where goals at organisational level support goals directly relevant to the next level (Pulakos, 2009: 40). Every employee in an organisation is expected to work in alignment to support the organisation's strategic direction and critical priorities. Pulakos (2009: 41) emphasises that best practices in setting goals of an organisation involves developing cascading goals where at organisational level supports goals directly relevant to the next level, ultimately working towards the organisation's strategic goals and priorities.

Managers and employees set objectives and discuss behavioural expectations during Step 2 (Figure 2.3). This step, according to Pulakos (2009: 43), is very crucial as it involves articulating evaluation standards, which increases transparency and fairness of the PM process. In this process, step behavioural and results expectations should be tied to the organisation's strategic direction and goals, that is, whatever an organisation seeks to achieve from employees, and it should be intended to attain strategic plans, goals and objectives. Behavioural expectations are frequently communicated using performance standards that are aligned with the organisation's core values and strategic direction. These standards are then discussed with employees at the beginning of the rating cycle and used as a basis for systematically evaluating behavioural performance. Pulakos (2009: 43) highlights the importance of managers and employees collaboratively identify performance goals and agree on results to be achieved. Pulakos further states that individual goals need to be aligned with the organisation's strategy and goals and finally, that critical competencies and pre-defined performance standards are reviewed with employees.

Managers and employees hold on-going performance discussions. This is captured in Step 3 (Figure 2.3). Behavioural and results expectations are communicated during the performance planning process. Performance in both areas is discussed and feedback between managers and employees on performance objectives is provided on an on-going basis throughout the rating period. During this rating period, employees' objectives can be altered or revised because of unforeseen circumstances outside the employee's control, which can interfere with attaining objectives (Pulakos, 2009: 43). The author advises that it is critical to diagnose why an employee may be experiencing a problem before giving feedback to address a performance issue.

Pulakos (2009: 54) posits that collecting employee input is a useful strategy to enhance ownership and acceptance of a PM process and is considered as the best practice (Step 4 in Figure 2.3). It is vital to understand employees' perceptions of their own effectiveness to

assist managers to deal with them more effectively. Employees who significantly underestimate their capabilities need to be treated differently from those who overestimate their worth. Pulakos argues that in the former instance, reinforcement and confidence building are warranted, whereas in the latter instance, confidence neutralising is needed. A best practice in this process step is that employees rate themselves on rating scales. When employees are asked their input on the PM process, this helps them to provide self-rating, which are then discussed and compared to managers' ratings of the employees (Pulakos, 2009: 55). In addition, employees' input can be in the form of preparing statements of their most meritorious accomplishments during the rating period. Pulakos emphasises the importance of providing training, particularly if the goal of the organisation is to use accomplishment statements in making pay, promotion or other important HR decisions.

Obtaining performance information from managers, peers, direct reports and customers is often referred to as 360-degree feedback. Pulakos (2009: 60) contends that the best practice in this process step is to gain input from others with first-hand knowledge of performance (step 5 in Figure 2.3). Performance information could be collected from multiple rating sources done formally or informally. First, with the exception of the manager, ratings should be collected from at least three feedback providers from each rating source (e.g. three direct reports, three customers, etc.). Employees are usually provided with comprehensive feedback reports, showing the average score on each item by the rater group; that is, the average rating score from a peer group, the average rating score from a direct report group, the average score from a customer group and so forth. Narrative comments are also provided to the employee. Automated processes to collect, analyse and integrate formal ratings from multiple sources are best, mainly because they help to make this complex data collection process efficient and manageable.

In Step 6, managers rate performance (Figure 2.3). The three suggested steps are (i) evaluation of job behaviours and results; (ii) making ratings against defined rating standards to facilitate consistency, fairness and accuracy; and (iii) providing narrative comments to describe the rationale for ratings further and promote more meaningful and conscientious feedback from managers. Pulakos (2009: 62) contends that the best practice in PM is to consider both job behaviour and results, using defined performance standards as a basis for making ratings. Performance standards help employees to understand what is expected of them and provide common standards for managers to use in evaluating employees, thereby increasing consistency, transparency and fairness. Pulakos further shows that the inclusion of performance standards to guide ratings is essential for an effective PMS.

In Step 7 (Figure 2.3), the formal performance review session is regarded as a recap of what occurred throughout the rating period. Prior to the formal review, both managers and employees should spend time planning what they want to cover. While one part of the reviews should focus on the ratings and narrative comments, the majority of the session should be forward-looking and developmentally focused; these are regarded as best practices in PM (Pulakos, 2009: 77).

Pulakos (2009: 83) explains that the best practice revolves around organisations moving more towards linking PM with important HRs outcomes; that is, common performance reward linkages involve linking pay to performance. However, PM results are also sometimes used to inform other important outcomes such as promotion and terminations. In the case of promotion decisions, performance appraisals are rarely the only measure that is used. For termination decisions, PM results can certainly be used to identify and provide support for level or pay reductions or removal of employees. According to Pulakos (2009: 84), linking performance and pay is to reward employees for the contributions and motivate performance, which is the best practice in PM (captured in Step 8, Figure 2.3).

2.4.1 Performance management system implementation

Pulakos (2009: 102) has identified four best practices relevant to the implementation of an effective PMS. These are: (i) ensuring that there is sufficient leadership support for the system; (ii) gaining buy-in for the system from staff at all levels; (iii) realistically assessing the organisation's appetite for PM; and (iv) developing an effective communications strategy. The author contends that when the PM tools and processes have been designed, several additional implementation steps are necessary. These include automating the tools and processes such as developing the Human Resource Information System, pilot testing of the PMS, training staff on using the system, evaluating the system and improving the system based on the evaluation results.

On the other hand, the Treasury Board of Canada Secretariat (2014: 1) explains a PMS as a PM programme. A performance management programme refers to a department or agency's activities to ensure that the work of employees aligns with strategic objectives and priorities and that goals are consistently met effectively and efficiently. The programme should support departments and agencies in measuring performance accurately and fairly. The 10 steps outlined in Figure 2.4 are essential to establishing and maintaining an effective performance management programme.

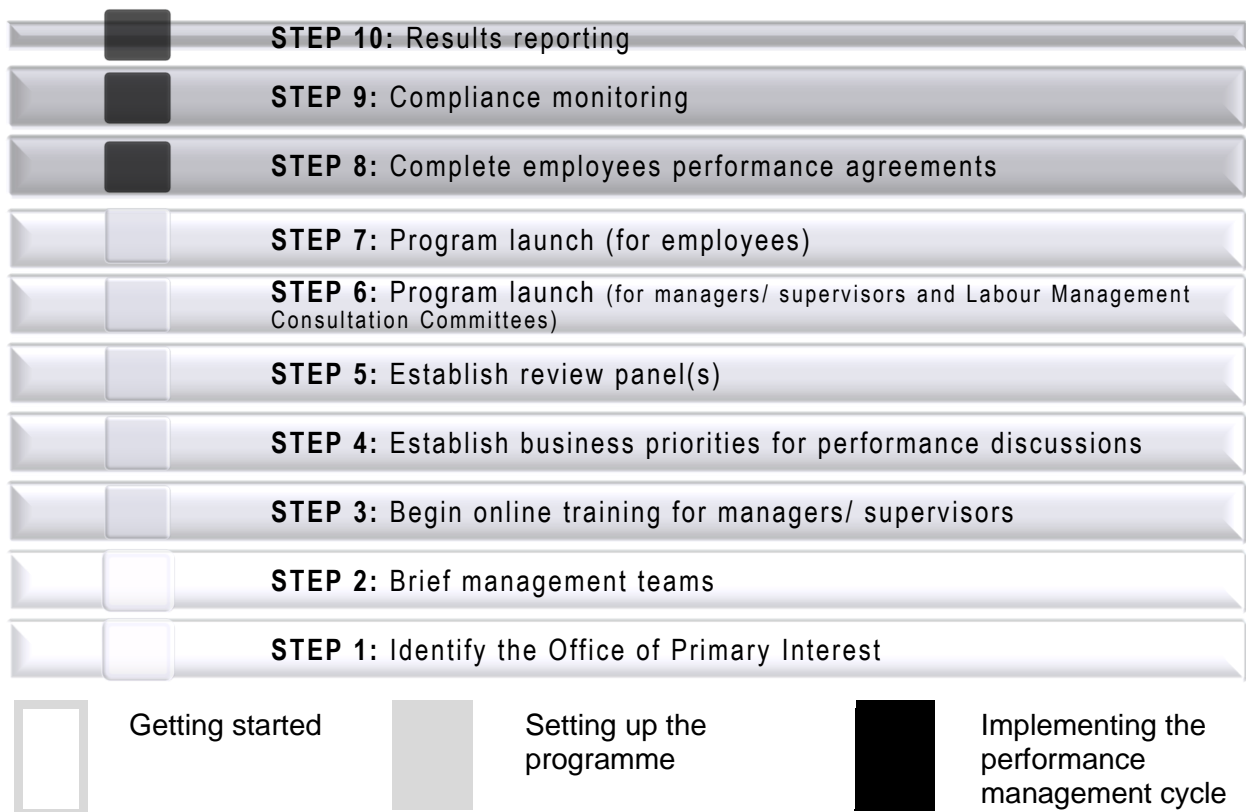


Figure 2.4: 10 Steps to Implementing a Performance Management Programme

Source: Treasury Board of Canada Secretariat (2014: 1).

The first step requires the organisation to initiate and coordinate activities for a programme through defining the scope of a PM programme (Figure 2.4). It involves developing programmes' operating plan and a plan for implementing on-line training in PM. It also involves developing a plan for compliance monitoring and analysing and a plan for corporate results analysis. All these activities are set within a specific period and key documents in PM are identified to allow ease of reference. The second step involves ensuring that management committees within the organisation understand and fulfil their responsibilities through defining priority activities for implementing the programme, establishing a plan for on-going programme activities and soliciting feedback (Figure 2.4). These managerial activities are executed within a set period and key PM documents identified.

Step 3 requires managers and supervisors within departments or agencies who are responsible for evaluating employee performance successfully complete online training through; issuing email from deputy head to all managers, supervisors and executives informing about the training and where and when to take it; and monitoring take-up of training and take corrective action as needed (Figure 2.4). A schedule for executing these activities is set and key PM documents are identified for reference. Organisational priorities

and operational objectives are identified for PM discussions and signing of performance agreements at the beginning of a fiscal year, by ensuring that objectives can be cascaded from executive performance agreements to manager/supervisor agreements and ultimately to employee agreements in line with the PM cycle (captured in step 4, Figure 2.4). A schedule for executing activities is set and key PM documents are identified, i.e. Performance Agreement, PM Programme Guide and Employee PM Kit.

At this stage (Step 5, Figure 2.4) revision of departmental/agency management committees and Term of Reference takes place. This incorporates the roles and responsibilities of the performance review panel(s). This step involves monitoring the implementation of activities to support PM Programme. In addition, this step reviews activities through the PM cycle and reviews reporting on departmental/agency compliance and results. A schedule for carrying out these activities is set and key PM documents are identified for reference.

Step 6 involves completing PAs. Managers and supervisors communicate the launch of the PM process (Figure 2.4). Instructions are given to managers and supervisors on the PM process, cycle, roles and responsibilities. Workshops are held for managers and supervisors. A schedule is planned and key PM documents are identified. Informing employees about their roles in PM discussions and in completing PAs are captured in Step 7 (Figure 2.4). Activities include communicating the launch of the PM process and the roles and responsibilities of employees. Workshops are held, the set schedule and key PM documents identified for ease of reference. Performance agreements for all employees at the beginning of the fiscal year (1st April) are completed in Step 8. Activities include monitoring the progress of completion of PA and providing support for managers and supervisors including additional training in conducting performance discussions. A schedule is planned for carrying out these activities and key PM documents are identified (Figure 2.4).

Step 9 involves ensuring that departments comply with the directive on PM by developing a plan to monitor compliance as defined by the Directive on PM, reporting to review panels through the PM cycle and issuing an annual compliance report on how departments or agencies comply with the Directive on PM. A Schedule is planned for executing these activities and key PM documents are identified for reference. Finally, Step 10 involves extracting value from PM for strategic workforce decisions by giving report on departmental results as required by results analysis plan and aggregating departmental results with other data to support strategic business and HR planning. A schedule is determined for executing these activities and key PM documents are identified for ease of reference (Figure 2.4).

2.5 LITERATURE REVIEW ON CURRENT RESEARCH ON PERFORMANCE MANAGEMENT AND PERFORMANCE MANAGEMENT SYSTEM

The following section firstly reviews the literature on four completed research theses on PM and PMS. The second part reviews the literature on publications on PM and PMS.

2.5.1 Literature review on completed thesis on PM and PMS (from 2009–2014)

The first study was conducted between 2007 and 2010. The research “The impact of performance management system on accountability in the Public Service of Lesotho”, aimed to establish the relationship between PMS and accountability in the LPS. It discovered that there is no clear link between the PMS and accountability in the LPS (Bekker and Sefali, 2011: 1-16; Sefali, 2010: 181). The study revealed that there is poor implementation of PMS, mainly due to lack of training incentives to implement the system, lack of political commitment to implement the PMS and poor planning and a shortage of management skills that could assist in the implementation of the system (Sefali, 2010: 201). Communication strategy is also found to be one of the causes of failure of the implementation of the Lesotho PMS (Sefali, 2010: 190). Finally, the study disclosed that outdated PMS guidelines affected the implementation of the PMS negatively.

The study suggested the following remedies for effective implementation of the PMS in the LPS:

- i) Formulation of a Cabinet Sub-committee to deal with issues of PMS. Provision of funds for training public officers on PMS to enhance their development.
- ii) Introduction of rewards for good performance in order to motivate officers and the introduction of performance- related pay.
- iii) Strengthening of PMS legislation to punish non-compliance.
- iv) Review GOL communication strategy (Sefali, 2010: 202).
- v) Greater inclusivity in the PMS implementation; that is, widening the size of stakeholders in the implementation of the PMS, and instilling a culture of performance and accountability Integration of the PMS in the LPS culture and finally.
- vi) User- friendly appraisal forms and up-to-date documents be introduced (Sefali, 2010: 206-207).
- vii) Establishment of a department that solely deals with the implementation of the PMS for all government ministries, departments and agencies.

A second study was conducted in the Public Sector of South Africa between 2006 and 2008 by Roos (2009) with the title “PM within the parameters of the PFMA”. The objective of the study was to examine and describe the current state of research and knowledge on

performance auditing and performance reporting, and how these two components of PM could be applied in the Public Sector of South Africa, in line with the provisions of the Public Financial Management Act (no. 1 of 1999). The research identified the challenges with regard to performance auditing and revealed that accounting officers often included information in annual reports on the performance reporting process. In this report, their responsibilities outweighed the information disclosed on completed performance audits (Roos, 2009: 114). The research also highlighted the challenges of performance reporting on the quality of reported performance information, the lack of reporting standards and the role of legislators in the performance reporting, which hampered productive debates on actual and planned performance (Roos, 2009: 115-116).

The study recommended that:

- i) In performance auditing, accounting officers should use annual reports to fulfil the accountability bestowed upon them as per the stipulations of the Public Financial Management Act (no. 1 of 1999) and to ensure that resources were acquired and utilised economically, efficiently and effectively (Roos, 2009: 117).
- ii) Central Agency, Treasury included The Presidency, Department of Provincial and Local Government and Government Communication and Information Systems should be held accountable for supporting the improvement of performance reporting by providing specific guidelines and standards, which included good practices developed with inputs from senior management and relevant stakeholders (Roos, 2009: 117).
- iii) Reviews had to be carried out and the recommendations provided on public performance reports be executed and departments should solicit experts on reporting performance audits.
- iv) Audit Committees should be made aware of their role in performance information and guidance must be solicited by professionals regarding accuracy of information that needs to be discussed by the Audit Committee (Roos, 2009: 119). Adoption of the use of appropriate technology was encouraged to ensure high quality and accessible information. Introduction of rewards and sanctions by the Auditor General South Africa in order to recognise good public performance reporting and encourage improved performance auditing. Internal Auditors should play a vital role in assisting Accounting Officers to ensure reliable, balanced and unbiased reporting. Further research was required on the development of measures of success to evaluate performance monitoring systems and integrating performance auditing and performance reporting with risk management (Roos, 2009: 119).

A third study reflects on “The implementation of the PM programme in Uganda’s Public Service” conducted between 2007 and 2008 by Epucia Emmanuel Lubwama Mpanga. The aim of the study was to provide an overview description of how Uganda’s public service manages its human resources performance for better service delivery (Mpanga, 2009: 1). The study identified challenges in the implementation of PM Programme in the Ministry of Public Service (MPS) of Uganda outlined in the following paragraphs:

- i) Inadequately trained leadership to implement PM in the public sector; insufficient accountability within the public sector; and failure to translate the goals of the public service in to goals achievable by the staff (Mpanga, 2009: 79).
- ii) Performance measurement was identified as a challenge in the management of performance. The study discovered that organisational objectives have not been clearly identified; hence, performance was difficult to measure.

From the findings of the study, the researcher proposed remedies towards improvement in the implementation of the PM Programme in the public sector. They were as follows:

- i) Development of core leadership competencies to be instigated (Mpanga, 2009: 80).
- ii) The Ministry of Public Service (MPS) had to focus more on managing performance, and educating senior staff on the importance of cascading knowledge of the appraisal process to their subordinates (Mpanga, 2009: 80).
- iii) The MPS had to be cautious with rewarding exceptional performance in order to encourage continuous exceptional performance. It was also suggested that underperformers be coddled in performance improvement plans to encourage improved performance (Mpanga, 2009: 81).
- iv) The study proposed a 360-degree feedback, which would enable each public-sector employee to get feedback of performance from supervisors, peers, staff members, co-workers and clients (Mpanga, 2009: 81).
- v) The MPS had to adopt an electronic system in completing performance appraisals for public servants in order to help improve the way appraisal history was kept to track continuous improving performers to be marked for reward and to track underperformers for whom corrective measures had to be taken (Mpanga, 2009: 81).
- vi) The budget for each year should cover the human resources in order to monitor performance and increase on the financial reward techniques of the excellent performers (Mpanga, 2009: 82).
- vii) There should be a link between PM in the public sector and staff career development.
- viii) Finally, the findings of the study showed that the Integrated Performance Management Framework in Uganda’s public service was pivoted on the Results Oriented

Management (ROM) and suggested a shift towards service delivery (Mpanga, 2009: 82).

- ix) Actors in the Public Service Reform should adopt a long-term perspective based on change demands, sustained effort, commitment and leadership over many generations (Mpanga, 2009: 82).

The fourth study cited was conducted in the XYZ Corporation (Pty) Limited in Namibia between 2008 and 2010. The title of the study was “Evaluating XYZ’s PMS implementation” by Michael Mukichi Gotore. The aims of the study were to identify how the new PMS was implemented and to test this against identified theories for implementation of the PMS and strategic change. The study also aimed to establish whether those affected by the change shared similar objectives with the change drivers with respect to the ability of the new system in improving employee motivation and performance, which would in turn improve corporate performance (Gotore, 2011: 76).

The following paragraphs summarise the findings of the study:

- i) The XYZ company faced resistance in its efforts to introduce the PMS prior to 2009 as there were no clear vision and strategy which the company worked to achieve and as a result fatigue was rife in the process of implementation (Gotore, 2011: 68).
- ii) Training was identified as an important activity in selling PMS initiatives and creating capacity and willingness to change particularly at the implementation stage (Gotore, 2011: 69).
- iii) Communication methods used were top-to-bottom with little opportunity for bottom-up communication. The findings further indicated that the perception of management did not listen to employee concerns and did not respond in a manner that showed genuine concern (Gotore, 2011: 70).
- iv) Lack of control over the activities expected of them suggested technical flaws in individual performance contracts, as it did not support successful implementation of the PMS.
- v) Performance ratings were revealed as a source of discontentment and stress amongst employees except at managerial level. The study established there was limited knowledge and understanding on how to perform performance ratings (Gotore, 2011: 72).

The following are the recommendations of the study:

- i) Introduction of transformational leadership style for PMS implementation. Within the company, reward and punishment played a major role in managing resistance.

- ii) The XYZ company's BSC should frequently be integrated and improved. The study indicated that although most Key Performance Indicators (KPIs) within the financial perspectives were clearly measurable and easily understood, the measurements of some non-financial indicators were not clear (Gotore, 2011: 74).
- iii) Training sessions on PMS should be categorised into groups tailored to suit each group and should include training on performance contracting, measurement, self-tracking, appraisals and XYZ's IT capabilities on PMS (Gotore, 2011: 76).
- iv) The XYZ company should review its BSC and confirm appropriateness of measurements contained in them.
- v) Continuous selling of the PMS to employees until the process is embedded through regular communication (Gotore, 2011: 77-78).
- vi) Adoption of a 360-degree evaluation and audits should be performed by a Working Committee to ensure objectivity and equity, and the use of the company IT capabilities using SAP to monitor and provide data for review purposes.
- vii) The outcomes of the PMS should be used for employee development and promotional purposes together with its current uses in order to enhance the system's acceptance as a transparent replacement of the old October Adjustment (Gotore, 2011: 78).

In the following section, a current literature review from publications on the implementation of the PM and PMS is given.

2.5.2 Literature review on publications on performance management and performance management system (from 2009–2014)

The first study cited in this study replicates on "A General Framework for PMSs: Structure, design and analysis" conducted between 2009 and 2012 by Alan Clardy. The purpose of the study was to identify the elements that make up a PMS, to describe their various design parameters or options and to note the analytic issues involved in assessing an organisation's PMS (Clardy, 2013: 5-6). The findings of the study revealed that for a PMS to be effective it required the following:

- i) Executive leadership commitment, attention and support. The author ascertains that leaders define the values and beliefs that play a pivotal role in shaping the organisation's culture. He views the executives as final decision makers who help shape organisational structure, approve strategy and plans, allocate resources, monitor organisation's performance and make major staffing decisions (Clardy, 2013: 6-7).
- ii) An effective organisational infrastructure with three components: a business plan or strategy, which defines how organisational resources will be used to provide goods and services; a management control system, which is regarded as a form of

performance measures against targeted goals and outcomes (such as BSC, TQM, Benchmarking and Activity-based costing); and a well-designed or engineered work processes to ensure that work is done cost-effectively with few possible errors to yield customer satisfaction. Workflow processes encompass (a) technical system of machines, technology procedures and process and (b) social system of the people who operate with and on the technical system (Clardy, 2013: 6-7).

- iii) Human resource policies and practices are required to define and execute the needed employment relationship. These include staffing, development appraisal, retention, compensation and communications.
- iv) Finally, the working conditions are shaped by managers, supervisory conduct and the dynamics of the work group (Clardy, 2013: 7). The final sets of factors that define a PMS, according to Clardy (2013: 12), are the practices and conditions found at the workplace in which employees perform. The author argued that supervisors or managers set the climate of the workplace through their various management and supervisory practices. In addition, the organisations have the opportunity to shape the workplace climate by how they hire, train and treat their supervisors.

Management practices identified by the researcher comprise firstly, identifying and communicating performance expectations; secondly, training and coaching to improve capabilities; thirdly, monitoring performance for organisational control, reporting systems and how employees do their work, through tracking performance, by direct observation and regular reports. Finally, responding to performance with consequences, that is, providing feedback to employees on whether performance is acceptable or not. Clardy observes that good performance should be rewarded and reinforced and if no gains or improvement in performance is realised then the existing structure of consequences needs to be changed, for instance, through provision of feedback, increasing positive reinforcements, training and clarifying goals (Clardy, 2013: 12).

Workgroup also affects performance in the organisation. The researcher observed that the Hawthorne Studies levelled the ground for workgroup performance. For instance, Clardy points out that teams with high solidarity create strong pressures to conform to norms of group whereas workgroup with high levels of morale sustain good performance. He observes that the role of managers and supervisors in workgroup is to shape the working conditions that will either promote or inhibit both solidarity and morale (Clardy, 2013: 12).

Clardy concludes that a comprehensive framework indicates that any PMS exists at four levels: executive leadership, organisational infrastructure, HR policies, and procedures and

workplace working conditions. This model should provide the performance improvement professional with a systematic way to audit any organisation's PMS to identify deficiencies and relative importance of those deficiencies, and then to focus on interventions where they are most needed (Clardy, 2013: 12).

The second study conducted in Fiji between 2008 and 2013 was on "Performance Management Systems in the Public Housing Sector: Dissemination to Diffusion". Nirmala Nath and Umesh Sharma conducted the study. The purpose of the study was to examine the implementation of a PMS in public sector housing at Vale. In the authors' article, they cite the aim of their research as to explore and provide interpretations of why PM and measurements are introduced and implemented and reveal if the indicators are appropriate to serve the strategies of the organisation. The article further draws on diffusion of innovation theory and explores the effectiveness of PM at Vale in Fiji (Nath and Sharma, 2014: 2-3).

The findings of the research indicate that:

- i) Challenges in the implementation of performance measures are predicated on the conflicting influences on public sector entities, political interferences and ambiguous objectives.
- ii) Performance in the public entities is difficult to measure and performance indicators are difficult to construct (Likierman, 1998; Johnsen, 2005; Modell, 2005, cited in Nath and Sharma, 2014: 3).
- iii) PMS is regarded as an innovation that has not fully diffused into day-to-day organisational usage; that is, it is new and used for the first time.
- iv) The introduction of a PMS in Vale was informed by the quest of Fiji and NPM reforms introduced by the World Bank and Asian Development Bank (ADB) and Heads of business unit. The objective for PMS in Vale was to serve as a tool used to provide affordable housing for low to middle-income earners. However, the findings of the study revealed that there were increasing incidences of homelessness in Fiji, Urban Migration, unemployment, the expiry of land leases and the breakdown of nuclear and extended families which accelerated squatters (Fiji, Live 5 August 2011: broadcast cited in Nath and Sharma, 2014: 15). The study revealed that in implementing the PMS in Vale, the ADB consultants and heads of business units identified five KPAs and formulated departmental objectives and KPIs. The study discovered that some of the financial measures put in place to measure profitability entailed interest service ratio, total administrative cost to revenue and current assets to current liabilities. In the quest to fulfil performance targets, Vale's management started mortgaging the houses

of clients who did not service their mortgage commitments (Nath and Sharma, 2014: 15). The authors note that, despite the initiation of the PMS in Vale, there was insufficient evidence to suggest that it had achieved full diffusion and implementation.

The study makes the following recommendations to address PMS challenges:

- i) The authors recommend that future research be conducted to employ more critical theorising to highlight the social and historical roots of PMS in order to account for contemporary accounting systems.
- ii) Furthermore, research is required to focus on comparative studies of public sector housing PMSs in other developing countries, which will provide contributions in studies of PMSs in developing countries (Nath and Sharma, 2014: 16).

The third study was conducted by Peter Vlant in various organisations between 2009 and 2010. The title is “Mistakes in Performance Management”. The aim of the study was to identify the common mistakes in performance management in various organisations. He summarised mistakes in PM as; force fit organisation systems to accommodate PM software vendors, home-grown system software and using PM for project management (Vlant, 2011: 26).

The findings of the study reveal that in most organisations many mistakes are identified due to a lack of experience in the PM area. The author observes that in large organisations, manual PMSs typically fail 18 months after deployment, mainly due to lack of compliance with the system (Vlant, 2011: 26). Line managers are unable to keep track of where they are within the PM process. They lose track as to whom they have set objectives for, whom have been reviewed and what actions they need to take in relation to employee development plan (Vlant, 2011: 26). The study spots objective setting as a challenge in PM, which the author argues that line managers have little or no appreciation of the process and often struggle with setting objectives.

The following are the recommendations of the study:

- i) The implementation of PM should be supported with detailed training for line managers and it should include how to set objectives and appropriate examples be provided for each functional unit. In addition, managers that are more senior may need one-on-one coaching on how to set meaningful objectives for their teams (Vlant, 2011: 26).
- ii) In the practical implementation of automated PMSs, staff members and managers should meet regularly and have high quality discussion rather than concentrating on

putting information in to a computer. The study advocated that staff meet face- to-face to set objectives and perform reviews (Vlant, 2011: 26).

- iii) Vlant (2011: 26) proposed the use of two methods, which help in setting objectives, namely Strategic Cascade Down and MBO.

The fourth study focuses on the “Implementation challenges facing performance management systems in South African municipalities” by Gerrit Van der Waldt. The aims of the study were to use a case-study design to identify and analyse challenges that hampered the successful implementation of performance management systems in selected municipalities (Van der Waldt, 2014: 132). According to the author, the purpose of the study was to reflect on empirical findings drawn from a qualitative research project based on a case study. Van der Waldt highlights that South African municipalities are faced with challenges of service delivery and non-compliance of the PM system (Van der Waldt, 2014: 136). The author reveals that South African municipalities struggle with the implementation of long-term strategic plans and as a result are criticised for their lack of performance. Butler (2009, cited in Van der Waldt, 2014: 137) ascertains that the problem with PMS implementation in the municipalities is that municipalities operate their IDP, budget and performance processes in silo. This results in poor integration of the PMS. The next paragraphs will reflect on the findings of research based on three case studies conducted in the Ngwathe Local Municipality, Matlosana Local Municipality and Dr Kenneth Kaunda District Municipality.

According to Van der Waldt (2014: 144–146), the above-mentioned three municipalities experienced challenges in the implementation of their PMS, as outlined below:

- i) Lack of political will to make PMS a success and lack of commitment and political buy-in into the PMS.
- ii) Senior political and administrative officials are not aware of crucial guidelines, which should enable municipal practitioners to implement and maintain a PMS successfully.
- iii) Lack of guidance on institutional systems and structures in the implementation of the PM.
- iv) Attempts to improve on non-performance had failed, i.e. quarterly reports were filed and not scrutinised to ensure they served as early indicators of non-performance and that the performance was in line with set targets.
- v) Absence of performance reporting, which makes it difficult for municipalities to detect early indicators of underperformance.
- vi) Performance indicators do not measure what they are intended to measure.

- vii) Inadequate support structures such as finance, supply chain management and human resources.

In order to address the above stated challenges of implementing PMS in the Municipalities, Van der Waldt (2014: 146-148) puts forward the following recommendations intended to overcome those challenges:

- i) Establishment of a performance culture in municipalities. The author recommends strong political will and administrative leadership, which will in turn establish a performance orientation and performance culture in the municipalities. The author further advocates that performance management should be infused closely with all major municipal planning and budgeting processes, i.e. the IDP, top-layer SDBIPs and departmental service-delivery (operational) plans. The author advises that the administration within the municipalities should develop an effective reporting mechanism for PMS among officials and structures. Municipal councils should ensure oversight of the performance of all its structures, systems, processes and activities. Van der Waldt (2014: 147) also proposes that PMS implementation should be politically driven regarding the oversight, monitoring and evaluation of Municipal excellence.
- ii) Introduction of human capital development in municipalities by linking organisational performance to individual performance (Van der Waldt, 2014: 147-148). The entire PMS should therefore cascade to all officials in the municipalities. All officials should set performance targets and performance agreements with their supervisors. Training programme on application of PMS be designed and implemented. The system should help senior managers to identify areas of poor performance and design initiatives for staff development and improvement. A reward system should go hand in hand with PMS to incentivise excellence.
- iii) The study proposes institutional arrangements and operational interventions in municipalities (Van der Waldt, 2014: 148). The author recommends that for institutional arrangements, a dedicated PMS unit should be created within the organogram of the municipality. The PMS unit should be capacitated to process performance related activities and information relating to strategic planning, budgeting, policy analysis, organisational reviews and performance appraisals for managers.
- iv) Municipalities should design appropriate interventions with clear sets of responsibilities and targets. This will assist in establishing a conducive performance culture, designing interventions aimed at developing people capacity and making necessary institutional arrangements and establishing appropriate operational procedures to institutionalise the managing of performance in the municipality (Van der Waldt, 2014: 149).

2.6 CONCLUDING REMARKS

This chapter provided the overview of the theoretical frameworks of PM. It explained the international background on PM and PMS from the times of the Industrial Revolution. It showed how scientific management as advocated by Frederick Taylor, Frank and Lillian Gilbreth helped to shape the current management practices. Models and theories supporting the implementation of the PMS in the MSD were outlined. This chapter also charted levels of organisation, new approaches to PM and the PM process. The last section of the chapter reviewed current literature on challenges of implementing PM and PMS using completed dissertations, theses and publications. The literature reviewed from these sources generally identified challenges of implementing PM and PMS in organisations as predicated on the political influence, lack of accountability, difficulty in implementing management practices such as performance management measures, lack of management skills in particular; planning and design of a PMS, objective setting, the type of training offered, lack of management commitment, inability to use IT systems for PMS, communication methods used during the implementation of a PMS, poor reception of innovation in organisations, working conditions and resistance in PMS implementation. Other PMS challenges identified in this study include poor application of the system, inadequate support structures, inability to address non-performance, reliance on consultants, lack of baseline information to set performance targets, monitor progress and lack of commitment and political buy-in into the PMS.

CHAPTER 3: LEGISLATIVE FRAMEWORK, POLICIES AND STRATEGIES SUPPORTING THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

3.1 INTRODUCTION

This chapter presents a synopsis of the legislative framework, policies and strategies supporting the implementation of the performance management system in the Ministry of Social Development in Lesotho. It is directed towards achieving objective two of this study, i.e. to document the existing legislative framework and policies supporting the implementation of the performance management system in the MSD. The first part of Chapter 3 introduces the legislative framework (Public Service Act (no. 2 of 2005), Public Service Regulations (no. 38 of 2008), Codes of Good Practice (no. 82 of 2008), Basic Conditions of Employment for Public Officers Act (no. 43 of 2011), and Public Financial Management and Accountability Act (no. 51 of 2011).

The second part of the chapter focuses on the policies and strategies supporting the implementation of the PMS in the MSD such as the:

- a) National Vision 2020;
- b) Poverty Reduction Strategy;
- c) NSDP 2012/13–2016/17;
- d) Millennium Development Goals (MDGs);
- e) Performance management policies;
- f) National Policy on Social Development 2014/15–2024/25;
- g) National Social Protection Strategy 2014/15–2018/19;
- h) Lesotho Policy for Older Persons (2014);
- i) National Disability and Rehabilitation Policy (NDRP) (of 2011);
- j) Ministerial Strategic Plan (MSP) 2014/15 – 2016/17;
- k) Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025; and the
- l) National Strategic Plan on Vulnerable Children (NSPVC) April 2012–March 2017.

This chapter will also elaborate on the implementation of the PMS in the MSD.

3.2 LEGISLATIVE FRAMEWORK

A comprehensive and effective legal framework is vital for the smooth operation of a performance management system in organisations. It is also needed to meet the PMS objective of providing a planning and change management framework that is linked to the

national development plan and budgetary process in order to enhance the capacity of government to achieve the desired level of socio-economic governance, and improve the capacity of public officers in delivering appropriate services to the taxpayers. The PMS as a Human Resource Policy has been established through a series of legislative framework and policies, which clearly outline what the PMS is what it entails; who is responsible for its monitoring and evaluation procedures; and the activities to be undertaken. Legislative framework act as a tool to incorporate the PMS Policy within the national political-legal framework, which will be explained later in this chapter. This legislative framework empowers specific government departments such as the human resource to monitor the PMS closely to ensure that it operates within set standards and that it achieves its objective.

The Lesotho performance management system is supported by the following legal framework, which will be elucidated in the ensuing paragraphs:

- Public Service Act (no. 2 of 2005);
- Public Service Regulations (no. 38 of 2008);
- Codes of Good Practice (no. 82 of 2008);
- Basic Conditions of Employment for Public Officers Act (no. 43 of 2011); and
- Public Financial Management and Accountability Act (no. 51 of 2011).

3.2.1 Public Service Act (no. 2 of 2005)

Section 10 (2) (g) of this Act reads as follows: 'Without limiting the generality of Subsection (1), the Minister may make provisions for all or any of the following matters: (g) Policy determination with regard to code of conduct, performance management, discipline and other career incidents of the public officers including any other matter which relates to the promotion of harmonious relationships between the employer, officers, officers' representatives and management within the public service (Lesotho, Public Service Act no. 2 of 2005: 21).

Public officers in the MSD execute tasks based on guidelines stipulated in the Public Service Act (no. 2 of 2005). The Act makes provision for the establishment of the PMS in the MSD; hence, officers within the ministry compute performance review forms depending on individual salary Grades (Forms are attached in Annexure F, G, H and I) at the beginning of the financial year (1st April). In these forms, officers in the MSD commit themselves to perform government duties as stated on their job descriptions. They also commit to attain those tasks within set performance standards/targets within a given time, in alignment with the budget and resources available. Each manager monitors performance of employees

under supervision and at the end of every quarter, performance meetings are held to facilitate assessment of performance as per set performance standards. Where poor performance is realised managers take the necessary precautions to redress underperformance. At departmental/sectional level, Heads of Departments/Sections draw up operational and annual work plans aligned with the core functions of department/section and approved budget. This practice has been in place since the introduction of the PMS in 2000 across all ministries, departments and agencies in Lesotho, the MSD included.

3.2.2 Public Service Regulations (no. 38 of 2008)

Chapter V of the Regulations stipulates that the Minister shall establish a Performance Management System in the public service whose purpose is to enhance public officers' performance and productivity. It further states that Heads of Departments and Agencies shall be accountable for the effective application of the PMS. The Regulations also indicate that performance contracts, operational plans, individual plans, performance appraisal and performance rewards should be in place and implemented in Ministries, Agencies and Departments, the MSD included. However, performance rewards have not yet been implemented across all government ministries. In the MSD, heads of departments ensure that each section draws operational plans that tabulate all the activities that will be carried out through the fiscal year. Operational plans are tied to sectional priorities and needs, and conform to budgetary guidelines. They are also tied to departments' objectives and the approved budget. Officers from the level of Director and higher complete performance contracts/agreements (Annexure F and G), while the rest of staff below Director's level complete performance review forms.

They are divided into two categories; the first category, Form 29 (a) (Annexure H), is for officers from salary Grade E up to Grade I (Lesotho, Ministry of Public Service, 2000: 1-7). The second category, Form 29 (b) (Annexure I), is for officers from salary Grade A-D (Lesotho, Ministry of Public Service, 2000: 1-4). It could safely be argued that the MSD conform to this legislative framework, as the Head of the Human Resources or Deputy Principal Secretary (DPS) issues a memorandum to all staff at the beginning of every financial year (1st April) in an effort to support the implementation of the PMS, directing all officers and HODs/HOSs to begin to draw up performance plans (individual, departmental and sectional plans) for the current financial year in line with the approved budget.

Table 3.1: Summary of the staff composition according to the performance management system of the MSD

Salary grade	Complete form	Contract	Action
A	29 (b)	Performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
B	29 (b)	Performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
C	29 (b)	Performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
D	29 (b)	Performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
E	29 (a)	individual annual work plans or performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
F	29 (a)	individual annual work plans or performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
G	29 (a)	individual annual work plans or performance agreement with immediate supervisor	Supervisor facilitates appraisal with subordinates
H	29 (a)	individual annual work plans or performance agreement with immediate supervisor	Manager facilitates appraisal with subordinates
I	29 (a)	individual annual work plans or performance agreement	Director facilitates appraisal with subordinates
J	See Annexure G	individual work plans or performance contract	Principal Secretary facilitates appraisal with subordinates
K - Permanent position Deputy Principal Secretary	See Annexure G	individual annual work plans or performance contract	Government Secretary facilitates appraisal with subordinates
L - Statutory position Principal Secretary	See Annexure G	individual annual work plans or performance contract	Hon. Minister facilitates appraisal with subordinates
M - Statutory position Hon. Minister	See Annexure F	individual annual work plans or performance contract	Hon. Prime Minister facilitates appraisal with subordinates

Source: Developed by the researcher for purpose of this study

3.2.3 Codes of Good Practice (no. 82 of 2008)

Part II of the Codes of Good Practices (no. 82 of 2008: 1553-1357), Grievance Handling Procedures, is relevant to this research. The objectives of the Codes are to a) correct any unacceptable behaviour by a public officer and not necessarily to punish the public officer; b) deal with the matter as quickly as possible at the lowest level of management; and c) ensure consistency and effectiveness in the application of discipline within the public service. The Codes prescribe the handling of grievance procedures to be followed for any public officer who has lodged his/her discontentment regarding decisions made against him/her or for settlement of disputes/complaints. The MSD applies grievance handling procedures whenever a public officer within the ministry is not satisfied with the ratings given by immediate supervisor during the performance appraisal process (implementation of the PMS) and in other cases of work discontentment.

3.2.4 Basic Conditions of Employment for Public Officers Act (no. 43 of 2011)

Part V of the Basic Conditions tables the Performance Management and Development System. Under this Act, all government ministries, departments and agencies, the MSD incorporated, shall draw up annual work plans in line with sectional, divisional or ministerial plans and service standards are prepared by every public officer. The Act requires public officers on Grade I (currently Grade J after review of salaries in April 2013) and above to enter in to performance contract/agreement with their immediate supervisor. Public officers on Grade H (currently Grade I as a result of a review of salaries in April 2013) or below are also required to enter into a performance agreement with their immediate supervisors (Lesotho, Basic Conditions of Employment for Public Officers Act (no. 43 of 2011: 76). The Act also requires that monitoring of employee performance shall be made to facilitate the acquisition of all resources needed to implement work plans. The Act stipulates that officers' performance shall be reviewed half-yearly and appraised at the end of every year through the 360-degree appraisal system.

The Act stipulates that every public officer (including those in the MSD) shall prepare an annual work plan, in line with the sectional, divisional or ministerial plan and service standards. According to the Act, Officers on salary Grade I or above (which currently is Grade J after the review of salaries in April 2013), shall enter into an annual performance contract with the immediate supervisors. Officers on salary Grade H or below (currently Grade I after review of salaries in April 2013) enter into a performance agreement with their immediate supervisors (Lesotho, Basic Conditions of Employment for Public Officers Act no. 43 of 2011: 76). During the period of appraisal, monitoring of performance is done and feedback obtained on every officer's performance in the Ministry of Social Development.

Managers within the ministry ensure that the implementation of individual and sectional work plans is done properly and that resources are available to execute tasks. Performance shall be reviewed half-yearly and officers be appraised at the end of the year. The 360-degree appraisal system shall apply to Grade H and above (currently Grade I after a review of salaries in April 2013). In this system, an officer assesses himself/herself, followed by an assessment by his/her supervisor, supervisees, colleagues at work as well as his/her clients (Lesotho, Basic Conditions of Employment for Public Officers Act no. 43 of 2011: 76).

The Act also makes provision for performance-related pay, which has not yet been implemented. Performance-related pay categorises the performance appraisal rating scale in three stages: a) outstanding performer – 80 to 100% achievement of annual targets (salary progression of two notches up within salary scale); b) very effective performer – 70 to 79% achievement of annual targets (salary progression of one notch up within salary scale); c) effective performer – 60 to 69% of annual targets and shall maintain present salary scale (Lesotho, Basic Conditions of Employment for Public Officers Act no. 43 of 2011: 77). This aspect of performance-related pay has not been implemented by proper authorities in the Public Service of Lesotho – Cabinet; therefore, the Ministry of Social Development's PMS does not contain performance-related pay. The PMS only contains awards that are given to best-performing ministries based on set performance standards aimed at restoring the prestige and dignity of Public Service in Lesotho and raising the performance levels and competency. These awards are given during the celebration of Public Service Day in Lesotho, which is currently held in November every year.

The Act also makes provision for promotions, special annual awards, and nomination for participation in career-development exchange programmes, or secondment within or outside the public service, as well as nominations to attend special conferences or seminars or training courses, or any incentive as the Minister may determine. The Ministry of Social Development observes this provision. Public officers within the MSD are allowed to participate in the exchange programmes and are promoted on merit. The introduction of the Public Service Performance Awards gives every public officer the opportunity to prove outstanding performance in order to be recognised for this incentive (Human Resources Management Standard Operations Guide, 2012: 46).

3.2.5 Public Financial Management and Accountability (PFMA) Act (no. 51 of 2011)

With regard to reporting and auditing, Part V Section 34 (1) of this Act requires all government-spending units to prepare quarterly and annual reports (the MSD included) that are components of a PMS used for monitoring and evaluating performance. According to the

PFMA Act (no. 51 of 2011), the following activities shall be observed in all government ministries, departments and agencies, the MSD incorporated; details of programme results achieved, including the impact of new policies implemented in that year and in previous years; and the performance indicators used to assess programme performance and financial statements prepared in accordance with international public sector accounting standards will be set out (Lesotho, PFMA Act no. 51 of 2011: 280).

The PFMA Act (no. 51 of 2011) stipulates that the Minister in all government ministries, the MSD included, may direct spending units on how the international public sector accounting standards are to be applied. A local authority shall submit audited annual reports to the minister responsible for local government, who shall table the reports before Parliament and shall furnish copies of the reports to the Minister. The Act further states that each ministry shall separate statements under Subsection (1) (b) shall be prepared in respect of other public funds under the control of a spending unit (Lesotho, PFMA Act no. 51 of 2011: 280).

The Act requires that annual report should include a statement of any losses of public money or loss of or damage to government property, including any amounts recovered or written off and any government property disposed of by way of gift. It further requires the Chief Accounting Officer of each spending unit to certify in writing that an annual report represents the financial and programme performance of the spending unit in all material respects, and the annual report complies with any directives given by the Minister. A Chief Accounting Officer shall furnish a copy of an annual report to the Minister within three months of the end of the financial year to which it relates. The PFMA Act (no. 51 of 2011: 280), contains sanctions for non-compliance and requires CAO be surcharged M500 if he/she fails to comply with the provisions of Subsections (1), (6) and (7). The Act further requires a Minister responsible for a spending unit to present an annual report to Parliament within four months of the end of the financial year to which it relates and this forms part of accountability reporting. Finally, the Minister may require a spending unit to furnish other financial reports from time to time for the effective management of public money.

The provisions of this PFMA Act (no. 51 of 2011) clarify how government-spending units in Lesotho, the MSD included, should execute the reporting and audit function in all government ministries. Reporting and audit are part of the PMS, as the system requires ministries (MSD) to report on financial and programme performance through quarterly and annual reports. The reports need to show progress of each programme in the MSD. The report states ministerial objectives, which are made up of departmental and sectional objectives and activities and are linked to the budget and national priorities. The MSD is

mandated through the Minister to present the ministerial report to Parliament as part of accountability reporting. This annual report is presented to Parliament's Portfolio Committee on the social cluster which audits and reviews MSD performance against allocated budget to ensure that funds allocated to different programmes have been spent according to the ministerial strategic plan, operational plan and allocated budget. This annual reporting is an activity that the MSD performs in every financial year until such time when the Act shall be amended.

3.3 POLICIES AND STRATEGIES SUPPORTING THE IMPLEMENTATION OF THE PMS IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

Policy documents discussed in this section are the:

- National Vision 2020;
- Poverty Reduction Strategy, currently named National Strategic Development Plan 2012/13 -2016/17 (NSDP);
- Millennium Development Goals (MDGs);
- Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005-2025 (2004: 50);
- National Strategic Plan on Vulnerable Children (NSPVC) April 2012–March 2017;
- Performance Management Policies: PMS Guidelines (1995), PMS policy (2005), Performance Management and Development Policy (2009); Reward and Recognition Policy (2009); Performance and Development Management Policy (2010) and Draft PMS Policy (2013);
- National Policy on Social Development 2014/15–2024/25;
- National Social Protection Strategy 2014/15–2018/19;
- Lesotho Policy for Older Persons (2014);
- National Disability and Rehabilitation Policy (NDRP) (of 2011); and the
- Ministerial Strategic Plan (MSP) 2014/15–2016/17.

3.3.1 National Vision 2020 (of 2000)

The National Vision 2020 articulates that, “By the year 2020 Lesotho shall be a stable democracy, a united and prosperous nation at peace with itself and its neighbours. It shall have a healthy and well-developed human resource base. Its economy will be strong, its environment well managed and its technology well established” (Government of Lesotho, Ministry of Development Planning, 2014: 2-3). The National Vision 2020, through its pillar “a well-developed human resource base ”supports the implementation of the PMS in the MSD in that all ministerial plans, strategies and activities are aligned with the attainment of the

objectives of the National Vision for the development of the country as a whole more so particularly on socio-economic aspects.

Within the context of human development and poverty reduction, the Government of Lesotho has embarked upon a policy initiative, namely the Poverty Reduction Strategy Paper along (initially known as the Poverty Reduction Paper) with the National Vision 2020. For purposes of this study, the key priority area of Lesotho's PRSP most appropriate to the implementation of a PMS is to "improve public service delivery" by implementing reforms directed at productivity and management, such as performance appraisals and incentives for delivery in key PRS priority areas (Kingdom of Lesotho, 2009). Currently, the PRS in the MSD serves as a reference as it has been replaced by the NSDP 2012/13–2016/17.

The Lesotho National Strategic Development Plan serves as an implementation strategy for the National Vision 2020. The National Strategic Development Plan 2012/13–2016/17 (NSDP) succeeds the Poverty Reduction Strategy Paper (PRSP) and the Interim National Development Framework (INDF) that the Government of Lesotho has produced. The NSDP cluster relevant in this study is "(e) to promote peace and democratic governance, and build effective institutions" (IMF Country Report, 2012: 1; Government of Lesotho, Ministry of Development Planning, 2014: xxx). The Government of Lesotho has pledged to improve the overall efficiency of government and the public administration and services and effective oversight. The government's strategic objective under this cluster is to improve public-service delivery and strengthen the integrity of the public administration through the development of a comprehensive public sector improvement and reform programme in all government ministries, including the MSD.

The NSDP serves as a framework for implementing the national goals and priorities of which the MSD is one of the implementing ministries to achieve the goals and priorities of the Lesotho Government to promote development through the implementation of the PMS. For purposes of this study, the NSDP clusters mentioned in the next paragraphs show how the ministry's performance contributes to the achievement of the national goals and priorities thus the PMS.

The NSDP (2012/13–2016/17) cluster that aims amongst others to promote peace and democratic governance and build effective institutions (IMF Country Report, 2012: 1) is relevant in this study. Under this NSDP cluster, the government of Lesotho has pledged to improve the overall efficiency of government and the public administration and services and effective oversight. Under this cluster, the government's strategic objective is to improve

public-service delivery and strengthen the integrity of the public administration through the development of comprehensive public-sector improvement and reform programmes (in all government ministries, including the Ministry of Social Development), including the performance management system and establishment and monitoring achievement of appropriate service delivery standards, which are the subject of the study.

3.3.2 Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025

The Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005-2025 envisages promoting equity of access to quality essential services by ensuring that staffing corresponds to service demand/workload. The MSD is mandated to provide subventions to institutions that care for Older Persons and Persons with Disability (PWD); however, due to employees' incapacity and incompetence to implement the PMS effectively, such subventions have not been implemented according to a ministerial work plan. Only five of 23 local institutions caring for OVC have been provided with subventions (21.7%) (Lesotho, National Assembly, 2014: 8). The National Assembly further indicates the ministry's inability to present progress reports, which are the requirements for attaining subventions, has prevented the ministry to spread subventions to all institutions. One of the reasons cited by the National Assembly (2014: 8) in a report on review of performance of the MSD by the Portfolio Committee on the Social Cluster is that the ministry failed to submit progress reports from the previous period meaning that the implementation of the ministry's PMS has been compromised. With regard to the implementation of the PMS, it could be argued that performance and service delivery in the MSD still lag behind and therefore there is a need for a concerted effort to be made in order to investigate why despite the implementation of the PMS, these challenges still persist.

The Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025 is currently replaced by the MSD's Ministerial Strategic Plan (MSP) 2014/15–2016/17, although most of the plans which had not been implemented at the time the Department of Social Welfare broke away from the Ministry of Health to Social Development in 2012, were modified and transferred to the current strategic plan (2014/15–2016/17 to suit the objectives of the new ministry.

3.3.3 Ministerial Strategic Plan (MSP) 2014/15–2016/17

The MSD's Ministerial Strategic Plan (MSP) 2014/15–2016/17 defines the first step towards a comprehensive social security system, which will be developed on a gradual basis, building on the capacity of the poor to bounce out of poverty. This strategic plan articulates

that there is need for a transformation strategy whose objectives are to facilitate a shift in mindset, changes in structures and service delivery systems from welfare to social development and to create a strong foundation for sustainable growth and development of the MSD. This plan charts the MSD's response to its new mandate and the GoL's National Development Strategies articulated in the National Vision 2020, NSDP 2012/13–2016/17, the MDG's Service Delivery Agenda and other important government priorities and goals. The MSP 2014/15–2016/17 comprises the vision, mission and values of the MSD. It lays out the strategic objectives to be achieved, which emanate from all ministerial departmental objectives.

The relationship between the MSP 2014/15–2016/17 and the PMS arises at the performance planning, monitoring and evaluation stages of the ministry's performance. The strategic plan charts strategic outcomes indicators and performance standards all departments should comply with when assessing the overall performance of the ministry, and as such implementing the PMS. For instance, adequate, competent and inspired human resources are one of the many outcomes indicators outlined in the strategic plan (Ministry of Social Development, MSP 2014/15–2016/17, 2014: 12). Monitoring and Evaluation (which are tools of the PMS) of the strategic plan will ensure that the MSD is focused on its strategic goals and that assessment is made to determine which goals have been attained and the resources utilised thereof. This strategic plan is still in use and complied with to facilitate the mandate of the MSD until its duration ends.

3.3.4 National Strategic Plan on Vulnerable Children (NSPVC) April 2012–March 2017

The National Strategic Plan on Vulnerable Children April 2012–March 2017 provides guidance for the national response to vulnerable children, facilitate a systematic approach of generating evidence required for decision making and planning. This plan serves as a tool for resource mobilisation and supports strategies that improve efficiency and effectiveness of service delivery and coordination of the national response (Ministry of Social Development, National Strategic Plan on Vulnerable Children April 2012–March 2017, 2012). The relevant strategic priority used to guide the implementation of the National Strategic Plan on Vulnerable Children April 2012–March 2017, along with the MSD's PMS, is "Systems strengthening for a holistic, multi and inter-sectoral service delivery response" (National Strategic Plan on Vulnerable Children April 2012–March 2017, 2012: 3). In executing this priority strategy, plans are drawn as to how to achieve them and are based on objectives, targets, timeline and allocated budget. Progress reports are made to relevant departments in the MSD and the Ministry of the Public Service. During the implementation of the strategic

plan, monitoring of progress takes place, followed by an evaluation of overall performance. Thereafter, the MSD performs audits and reports to Parliament to ensure accountability.

3.3.5 National Policy on Social Development (NPSD) 2014/15–2024/25

According to the Economic Review (2013: 5), the National Policy on Social Development has been developed by the Government of Lesotho (GoL) to identify the most effective way of addressing the needs of the disabled people as well as strategies of their inclusion and meaningful participation in the economy. The NPSD envisages the incremental development of a comprehensive social security system, building the capacity of the poor to bounce out of poverty, improving access to basic social services and promoting human rights. This policy envisages promoting interventions that are preventive, protective, promotive and transformative in orientation to improve the welfare of the people, particularly the vulnerable groups. The policy specifically seeks to prevent and reduce poverty, deprivation and inequality in Lesotho; empower individuals and communities to be self-sufficient; protect vulnerable groups to ensure the fulfilment of their rights and the realisation of their potential; and facilitate the coordination of social development efforts (Ministry of Social Development, NPSD 2014/15–2023/24, 2014: 2).

The NPSD supports the implementation of the PMS in that it gives expression to the National Vision 2020 specifically creating a “healthy and well-developed human resource base” (Ministry of Social Development, National Policy on Social Development 2014/15–2024/25, 2014: 1). The NPSD provides a framework for development and implementation of programmes to enhance human wellbeing. All objectives set out in the NPSD are monitored and evaluated, using the PMS to determine progress. Where poor or non-performance of activities is observed during the implementation of the NPSD, a review can be proposed.

3.3.6 National Social Protection Strategy 2014/15–2018/19

The National Social Protection Strategy implements the National Policy on Social Development in the medium term. It articulates the National Vision for social protection and guides the development of detailed strategies for harmonising, integrating and scaling up the different social protection scheme (UNICEF 2013 Annual Report, 2013: 16). The Policy provides a broad framework for development and implementation of a harmonised and coordinated social protection agenda of the government to ensure that different programmes implemented by different government and non-government agencies are complementary to one another for sustainable development of the vulnerable. The strategy is structured around four key life-course stages, i.e. pregnancy and early childhood, school age and youth, working age, and old age (Ministry of Social Development, National Social Protection

Strategy 2014/15–2018/19, 2014: vi). It states the overall objectives of the social protection programmes.

This strategy, like the previously mentioned strategies and policies, is geared towards the achievement of the priorities of the GoL as articulated in, for example, the National Vision, NSDP 2012/13–2016/17 and MDGs. It supports the implementation of the PMS in the ministry in that all ministerial goals and objectives come from departmental goals and objectives and are linked to national goals and priorities to assess performance of different programmes in each ministry/department/agency.

3.3.7 Lesotho Policy for Older Persons (2014)

The Lesotho Policy for Older Persons (2014) affirms the government's commitment to the protection of the rights and welfare of population ageing. According to the Lesotho Policy for Older Persons (2014: v), the population that is aged 60 and above is considered as older persons in the Lesotho context as it is in alignment with the definition used across the African continent. The policy is intended to make the social, legal, political and economic rights of older persons better defined, acknowledged, respected, protected and served. It also will encourage older persons to join in the way these rights are observed in their households, families, communities and the nation at large. Furthermore, the policy will let elders be seen as assets and not liabilities for social development. The overarching objective of the Lesotho Policy for Older Persons (2014) is to advocate for observance of rights and respect to older persons by establishing structures that will improve the status of older persons and their well-being, while being sensitive to gender and age difference of older persons.

The policy supports the implementation of the PMS in the MSD in that when performance standards are set in the ministry, they emanate from, amongst others, the objective and goal of the Lesotho Policy for Older Persons (2014). All activities to be performed in order to achieve the goal and objective of the policy are benchmarked, using the PMS as a tool to monitor and evaluate the performance of the Department of Elderly Services. The policy is also in line with government goals and priorities, MSP 2014/15–2016/17 and the ministerial budget and assessment are made to monitor and evaluate progress of performance to ensure that there is a regular review of all programmes implemented under the Policy. Briefly, the PMS serves as a yardstick in which the performance of the Policy is measured. During the drafting of performance agreements/contracts/annual work plans, which begin on the 1st April of every financial year, the Department of Elderly Services, whose mandate is to ensure that all programmes under the Policy are implemented, draws up an annual

departmental work plan and operational work plan comprising goals, objectives, activities, performance standards/targets, timeline, expected outputs and outcomes and the approved budget. These plans are aligned to the MSP 2014/15–2016/17, GoL goals and priorities as stipulated in the documents mentioned in this Section (3.3), thus implementing the MSD's PMS.

3.3.8 National Rehabilitation and Disability Policy (2011)

The Government of Lesotho developed the National Rehabilitation and Disability Policy (NRDP) (2011) to reaffirm its commitment on the protection, empowerment and rehabilitation of people with disabilities (PWD). The policy therefore sets up a framework for the inclusion of PWDs in the mainstream of poverty-reduction strategy and social-development programmes (Government of Lesotho, National Rehabilitation and Disability Policy, 2011: iv). The policy reflects the aspirations of many disabled persons in Lesotho and reaffirms the GoL's commitment in the involvement of all issues that affect them, such as the development of specific programmes and legislation. The purpose of this policy is to create an environment where PWDs living and working in Lesotho would be able to realise their full potential.

This policy advocates guiding principles as non-discrimination, equality of opportunity, independence not dependence, fulfilment of basic needs, accountability, integration, participation in decision-making and ability, not inability. The NRDP (2011) builds onto existing government policies (the PMS included) and intends to ensure that disability is mainstreamed in society at all levels and spheres. This policy supports the implementation of the PMS in the MSD in that before the policy is implemented, a strategic plan, which is a component of a PMS, has to be prepared. In this strategic plan, activities are set out as to how to attain the objectives of the NRDP (2011), which are aligned to the budget and other government policies (national level) and priorities. The MSD's PMS serves as a tool used to assess whether the goals and objectives of the NRDP (2011) are met.

The next paragraphs explain all PMS policies in the Lesotho Public Service that guide the implementation of the PMS in all government ministries, the MSD incorporated.

3.3.9 Performance management system policies

The Ministry of the Public Service in Lesotho, which is a custodian of the PMS, has developed a series of PMS policies with a view to guiding the implementation process of the PMS in all government ministries (the MSD included), departments and agencies. These PMS policies serve different purposes and as such are applied across all LPS, including the

MSD. These PMS policies include the PMS Guidelines (1995); PMS policy (2005); Performance Management and Development Policy (2009); Reward and Recognition Policy (2009); Performance and Development Management Policy (2010); and Draft PMS Policy (2013).

The Performance Management System Guidelines (1995) were formulated during the introduction of the performance management system in the Public Service of Lesotho in 1995 to serve the following purposes: (i) outline the objectives of the PMS in the Public Service of Lesotho; (ii) define the meaning of the PMS; (iii) establish the relationship between the PMS and the public service laws, codes and regulations; and (iv) provide the contents and application of the PMS in the Public Service of Lesotho. These PMS Guidelines (1995) are no longer applied in the MSD, as several PMS policies have been introduced as replacement.

The Performance Management Policy July (2005) is based on the national strategic principles contained in the Lesotho Government Vision 2020 and values. It provides the basis for performance management policy in the public service and is complemented by the need to promote efficiency and effectiveness in the process of managing employee performance and improving service delivery. The policy therefore indicates how the Human Resources officials across all government ministries, including the Ministry of Social Development, should fulfil their obligations to achieve the national goals. The policy includes the purpose, objectives, guidelines and procedure for the implementation of the PMS, which will be facilitated by the Ministry of the Public Service.

The purpose of the Performance Management and Development Policy (July 2009) policy is to establish a consistent and fair performance management and development (PMD) process within the Lesotho Public Service, the MSD included. Performance shall be managed in accordance with this policy. This policy outlines the principles of performance and development, with which all ministries, departments and agencies in Lesotho should oblige. It shows terms of employment for categories of employees eligible to participate in performance management and development system. Applicable legislation for this policy is tabled (Public Service Act no. 2 of 2005), Public Service Regulations (no. 38 of 2008) and Poverty Reduction Strategy). The policy further presents the performance management processes that depict stages of the performance management cycle (Figure 3.1) and the Lesotho Performance Management Process Cycle – detailed (Figure 3.2).

The policy further explains individuals' personal development plans, which public officers should use to record their short- and long-term development goals, together with performance. The policy explains that training and development together with employees' personal development plan shall be within the national goals and priorities of the Lesotho Public Service. Training needs analysis shall be undertaken by all ministries, including the MSD, to determine their priorities and prepare their training and development plans at the beginning of every year are submitted to the Ministry of the Public Service. Supervisors are mandated to develop, coach and give feedback to their employees through regular review sessions or performance discussions. The policy also describes how performance reviews shall be conducted. The policy also explains evaluation criteria and performance ratings to be followed in assessing employees' performance, dispute resolutions, management of poor performance and control measures to be taken.

The Reward and Recognition Policy (2009) policy is intended to provide fair consideration for reward and recognition incentives for all Lesotho Public Service employees. This policy is guided by the Lesotho Public Service Regulations (no. 38 of 2008, Chapter V, Section 88. 2 (1) and (2)). The policy should be read in conjunction with the associated performance management and development policy that is discussed below. The policy details the following: principles of reward and recognition, status of employees eligible to participate in reward and recognition, legal frameworks where the policy has been developed, salary review process, and budgets for incentives, bonuses and annual salary increment and recognition rewards.

The Performance and Development Management Policy March (2010) recognises that there is a need to inculcate a culture of continuous performance improvement and effective service delivery aimed at improving the standard of living for every Mosotho. It promotes integrated planning that is aligned to the national development agenda at ministerial and individual level. It provides a framework for monitoring, evaluating which are components of PMS, recognising and rewarding and correcting poor performance in order to keep officers motivated. The policy also lays down guidelines to be followed in implementing PMS and Performance-Related Pay System in the public service of Lesotho. The policy is partially implemented in the MSD as currently concentrates on development of employees through the provision of training locally and internationally (workshops, seminars, short courses, long term training). The reward aspect of the PMS has not yet been introduced by the proper authority – the Cabinet.

The recent Draft Performance Management System Policy (2013) would be highlighted in this study, although it is still in its infancy. This policy is still in a draft form. Consultations and inputs of all stakeholders involved have not been completed. This PMS policy aims to provide guidance towards the implementation of the new PMS known as the Performance Contracts (Performance Agreements) introduced in April 2014 across all government ministries, the MSD incorporated. This policy has been introduced as the Government of Lesotho's efforts to improve the performance of the Lesotho Public Service as several attempts of the PMS, which dates back as far as 1975, 1978, 1979, 2000, 2003 and 2004, had failed. The new PMS is commonly called the Performance Agreement and is a freely negotiated performance agreement between the Government of Lesotho, acting as the owner of agency, and the management of agency. It is a range of management tools used to define responsibilities and expectations between parties to enable them achieve mutually agreed results. It specifies what needs to be achieved, expected levels of achievement, timelines, evaluation and reporting methodologies (Government of Lesotho, Ministry of the Public Service, 2013: 1).

Performance Agreements are intended to insure the Lesotho Public Service progressively keeps pace with global performance developments in order to ultimately place and maintain the Kingdom of Lesotho on the cutting edge of global competitiveness. This new PMS contains strong performance evaluation and monitoring system. All Chief Executive Officers (usually known as Principal Secretaries) in government ministries in Lesotho, including the MSD, were mandated through a Cabinet directive released on 28 January 2014 that they had to sign their annual work plans with their respective ministers. This paved the way to the signing of the Performance Agreements by the Chief Executive Officers (Principal Secretaries) in April 2014. The purpose of this Performance Agreement is to establish clarity and consensus about priorities for each ministry's management. It also represents a basis for continuous improvement as the government reinvents to meet the needs and expectations of the Lesotho people. The MSD signed this Performance Agreement at the beginning of April 2014 to conform to this new initiative by the Government of Lesotho. Assessment of progress and achievements to date cannot be made, as the concept is still piloted and not fully implemented yet.

It is worth noting that the introduction of this new PMS (Performance Agreements) do not abolish the existing PMS policies and the Integrated PMS (2000), but modifies them by focusing more on ministries' priorities management and sets monitoring and evaluation systems. The next paragraphs shed light on the implementation of the Integrated PMS in the Lesotho Public Service, the MSD incorporated.

3.4 IMPLEMENTATION OF THE LESOTHO INTEGRATED PERFORMANCE MANAGEMENT SYSTEM

In the 2000s, under the Public Sector Improvement Reform Programme (PSIRP), the Government of Lesotho introduced the Public Service Reform (PSR) in an endeavour to improve the delivery of public services. In order for government ministries, including the MSD, to undertake PMS effectively, strategic ministerial objectives are aligned to government documents; National Vision 2020, the Poverty Reduction Strategy Paper currently known as the National Strategic Development Plan 2012/13–2016/17 and the Millennium Development Goals (MDGs). Between the year 2000 and 2001, all government ministries, departments and agencies, including the MSD, were directed to prepare and submit their annual operational plans in accordance with Legal Notice No. 21 of 2000 in readiness for assessing the Principal Secretaries on the performance of their ministries. This followed the first attempt to appraise Principal Secretaries, Deputy Principal Secretaries, and Directors in May-June for Principal Secretaries, July-August for Deputy Principal Secretaries and Directors in 2001 (Ramaqele, 2013: 9). In 2004, another attempt was made to assess performance of different cadres of public employees which culminated to the introduction of performance contracts for officers in salary Grade I and above (currently Grade J after review of salaries in April 2013) but it did not take off properly. Having realised the deficiencies of the PMS, the government of Lesotho under the auspices of the Ministry of Public Service developed processes involved in the implementation of the performance management system in Lesotho Public Service, including the MSD and these will be outlined in the next paragraphs.

3.4.1 Performance management process in the Lesotho Public Service

The performance management process is a cycle with performance discussions varying from year to year based on changing objectives. The cycle consists of four stages as depicted in Figure 3.1.

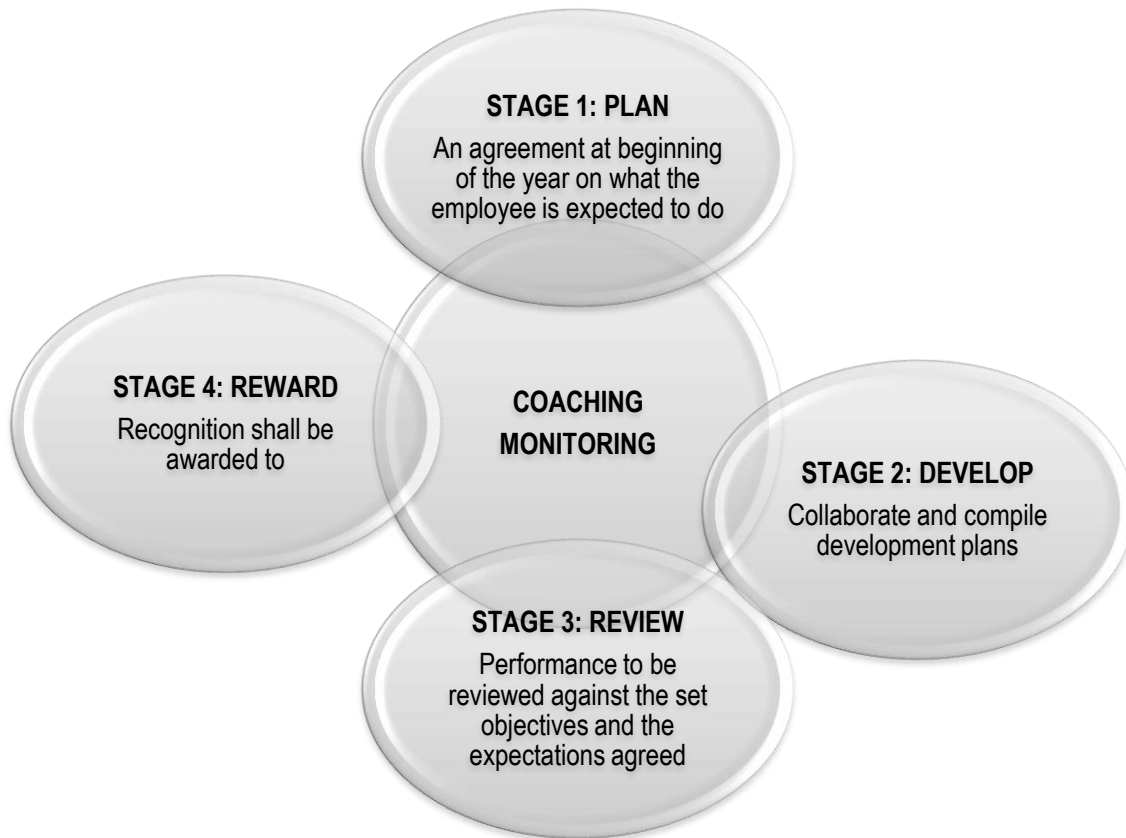


Figure 3.1 Performance Management Process Cycle – High Level

Source: Ministry of Public Service Lesotho (July, 2009: 6).

The first stage of the Lesotho's Performance Management process depicts planning where officers in all government ministries, the MSD included, draw up annual work plans based on job descriptions and objectives of their respective departments (Figure 3.1). The second stage is the development stage where collaboration and compilation of development plans occur (Figure 3.1). The third stage is the review of employees' performance against set objectives. During this review stage, outstanding performance both at individual and ministerial performances is assessed and recognised based on the achievement of set standards (Figure 3.1). This leads one to the fourth stage of reward where officers and ministries who outperform others are rewarded based on set standards (Figure 3.1). The types of rewards are determined in accordance with the procedures as set out in Section 3.4.2 of this chapter (Government of Lesotho, Human Resource Management Standard Operations Guide, 2012: 43-46). However, the Ministry of the Public Service, which is the custodian of the PMS, spearheads the reward process and determines the types of rewards to be given to best performing officers and ministries based on evaluation results. Throughout all these four stages, supervisors provide coaching to employees to help them

achieve goals and objectives. Supervisors also monitor performance of employees to check progress of activities against set standards and targets.

The next figure (3.2) shows a more detailed Performance Management process cycle in the Lesotho Public Service.

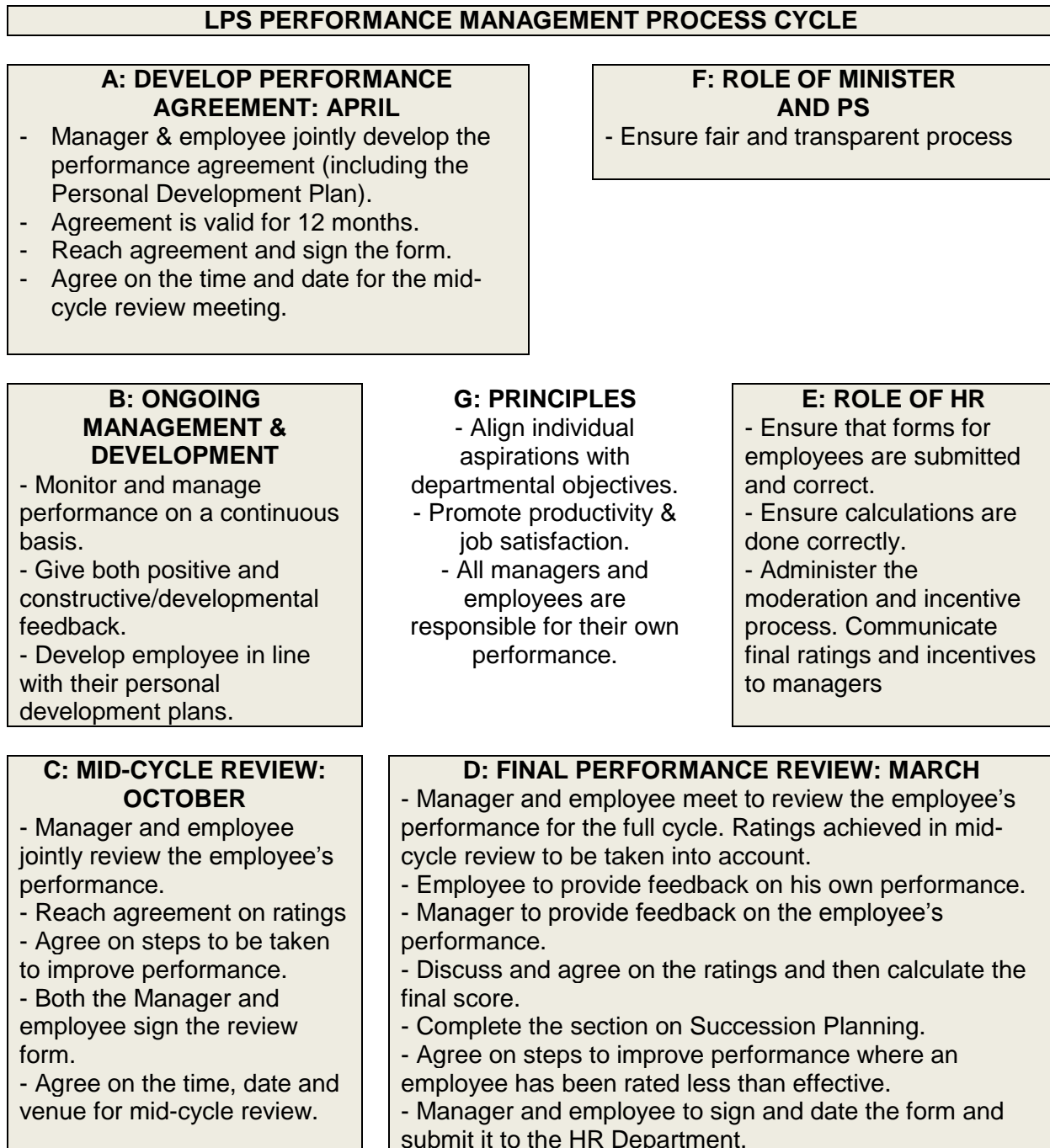


Figure 3.2 Lesotho Performance Management Process Cycle – Detailed

Source: Ministry of Public Service, Performance Management and Development Policy (2009: 7).

Note: LPS – Lesotho Public Service
PS – Principal Secretary

At the first stage of the LPS PM process cycle (Figure 3.2; A), managers within all government ministries, departments and agencies develop performance agreements at the beginning of every financial year, commencing in April. Managers jointly develop performance agreements at both departmental and individual level. The agreement is in tangent with the financial year. Both managers and employees within the Ministry of Social Development agree on set objectives and sign work plan forms. They also agree on the time and date for performance review meetings. Monitoring and management of employees' performance are carried out through the performance review period. Managers provide feedback of employees' performance and development of employees is made in line with the development plan.

After six months, managers and employees within the Ministry of Social Development jointly review the performance of the employees (Figure 3.2; A). Managers appraise the employees and give ratings on performance. The form is signed by both parties and they agree on the time, date and venue for the final performance review meeting, which is held in March. At the final performance review stage (Figure 3.2; C), managers and employees within the ministry meet to review employees' performance. Ratings achieved in the mid-cycle review (October) (Figure 3.2; C), are taken in to consideration. Feedback is provided from employee on his/her performance (Figure 3.2; D). Managers and employees discuss and agree on the ratings and reach the final score. There is a section on Succession Planning and in this, agreement is reached on steps to improve performance where an employee has performed less than effective, which is the last rating scale. Both managers and employees sign and date the form and submit them to the Human Resource (HR) department. Managers and employees agree on a time, date and venue for the next meeting to discuss the Performance Agreement for the new cycle (Figure 3.2; D).

In this PM cycle, three offices play a major role in facilitating the completion of the PMS in the Ministry of Social Development. After managers have submitted completed performance review forms of employees in respective departments, the office of the HR needs to ensure that forms for employees are submitted and correct and that calculations are done correctly (Figure 3.2; E) and then administer the moderation and incentive process and communicate the final rating and incentives to managers.

During the period of the performance management cycle, the Minister and the Principal Secretary within the Ministry of Social Development ensure that the PM process is fair and transparent (Figure 3.2; F). It is crucial to note that in all five PM activities employees apply the PM principles (Figure 3.2; G). Individual employees align their plans with the

departments' objectives to promote productivity and job satisfaction at all levels. Both managers and employees are responsible for their own performance in this PM process cycle.

3.4.2 Planning and development process steps in Lesotho PMS

The following section will highlight the planning and development process steps in the implementation of the performance management system in all ministries, departments and agencies in Lesotho, the Ministry of Social Development included (Government of Lesotho, HRM Standard Operations Guide, 2012: 43-46).

- i) The Ministry of Finance and Development Planning (currently known as the Ministry of Development Planning after the 2012 General Elections in Lesotho) prepares and publicises the national development plan.
- ii) The Cabinet Secretariat issues national development priorities on an annual basis, at least six (6) months before the beginning of the financial year.
- iii) Ministries, departments and agencies develop annual plans aligned to national development priorities i.e. National Vision 2020, Millennium Development Goals (MDGs), Poverty Reduction Strategy currently known as the National Strategic Development Plan 2012/13–2016/17, Public Sector Improvement Programme (PSIP) and Service Delivery Agenda.
- iv) The ministerial and departmental annual strategic and operational plans are submitted to the Central Moderation Committee and Inspectorate Unit in the Ministry of the Public Service by 30 April every year.
- v) Ministries develop annual departmental and sectional plans clearly defining their goals, objectives, performance targets (outputs) and service delivery standards six (6) months before the beginning of the financial year.
- vi) Ministries prepare budget framework papers, which will inform budget estimates/ceiling for the next financial year.
- vii) Ministers enter into performance contracts with the Prime Minister.
- viii) Principal Secretaries sign performance contract with Ministers and Government Secretary at the beginning of each financial year, while officers on Grade I (currently Grade J after review of salaries in April 2013) and above will sign with the Principal Secretaries.
- ix) Public officers develop work plans based on departmental plans at the beginning of every financial year. The individual performance plan should be informed by the job description and the operational plan for the division.

- x) Line managers and officers assess the skills required to complete the key tasks successfully. Suitable training and other learning experiences are then identified and incorporated in the training plan.

It should be noted that the office of the Government Secretary consistently monitors progress, provides assistance and feedback to the ministries. The Performance Review processes are then followed. After every six months, the HRO announces the review period (in all ministries, including the MSD). Based upon this, line manager and officer convene a meeting for review. The line manager and officer fill in the appraisal form and effect changes on the work plan where necessary. Line managers and team members hold periodic meetings to review progress. Thus, line managers consistently monitor progress, provide assistance and feedback to the officer.

The Performance Appraisal entails four steps. During step one, the HRO announces the performance appraisal period at the end of every financial year (31 March). The Head of Section (HOS) and the officer meet to appraise the officer's performance by rating each performance area based on the agreed performance indicators. Both the appraiser and appraisee complete and sign the performance agreement form. Officers from salary Grade H (currently, Grade I after review of salaries in April 2013) and above facilitate appraisal by their subordinates. The HOS and officer agree to carry forward the incomplete activities, which shall form the basis for subsequent work plans. The HOS submits the complete performance review form to the HRO for filing. The performance review form and performance contract form used in the public service for officers from salary Grade A to M are attached in Annexure F, G, H and I to show the difference of forms for individual employees and also to chart how they will show commitment in executing duties, which will in turn reveal overall performance.

Amongst the Institutional Performance Management Initiatives introduced in the LPS, including the MSD, comprise of Performance Standards Setting. Under this, it is the responsibility of HODs to outline all services offered within the ministry and state the service standards. These service standards should be submitted to the Cabinet Office by HODs. HODs declare and publicise service standards at all times, using all or some of the following feedback systems: customer service charters, posters, radio/television presentations, brochures, booklets, newsletters, meetings etc. Based on the feedback from the clients of the ministry, HODs review performance of individual departments and find ways of improving service standards. The MSD's performance feedback system is gathered through customer

satisfaction surveys, suggestion boxes, radio/television phone-in programmes, Pitsos (public gatherings), meetings, workshops, rallies and seminars.

During performance evaluation in the MSD, HOSs compile and submit performance reports to the Ministerial Moderation Committee (MMC). HODs compile and submit performance reports to the Central Moderation Committee (CMC), which is based in the Ministry of the Public Service, Lesotho. The CMC assesses the ministry's performance based on annual ministerial plans and achievements. It then prepares and issues an evaluation report including recommended improvements to performance.

Performance Rewards in the LPS are in the form of Public Service Performance Awards that are awarded during the Public Service Day held in November every year to reward outstanding performance in the public service, both at individual and ministerial level. HODs in every ministry, the MSD incorporated, publicise annual plans aligned to allocated budget and present achievements to the Cabinet Office and CMC. CMC assesses and evaluates performance of ministries and announces assessment results over the media. The office of the Prime Minister presents awards to best-performing ministries during the celebration of Public Service Day. The CMC is composed of stakeholders drawn from the civil society, media, academia, business and private sector.

In determining Ministerial Performance Awards, HOSs submit annual plans and achievements to MMC. MMC assesses and evaluates performance of departments and announces assessment results. The Honourable Minister responsible for the Ministry of the Public Service presents the awards to the best performing department during the celebration of the Public Service Day.

3.5 CONCLUDING REMARKS

This chapter presented the legislative framework supporting the implementation of the PMS in the MSD. These included Public Service Regulations (no. 38 of 2008), Basic Conditions of Employment for Public Officers Act (no. 43 of 2011), Public Financial Management and Accountability Act (no. 51 of 2011), Public Service Act (no. 2 of 2005) and Codes of Good Practice (no. 82 of 2008). The chapter also outlined supporting policies and strategies in the implementation of the PMS in the MSD. These are the National Vision 2020; the Poverty Reduction Strategy, currently named the National Strategic Development Plan 2012/13–2016/17 (NSDP); Millennium Development Goals (MDGs); Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025; Ministerial Strategic Plan (MSP) 2014/15–2016/17; the National Strategic Plan on Vulnerable Children

April 2012–March 2017; National Policy on Social Development 2014/15–2024/25; National Social Protection Strategy 2014/15–2018/19; Lesotho Policy for Older Persons (2014); National Rehabilitation and Disability Policy (2011), as well as Performance Management Policies: PMS Guidelines (1995); PMS policy (2005); Performance Management and Development Policy (2009); Reward and Recognition Policy (2009); Performance and Development Management Policy (2010) and Draft PMS Policy (2013).

The implementation of the Lesotho Integrated Performance Management System was explained in this chapter. The chapter further explicated the PMS process in LPS including the MSD. Planning and development process steps in the Lesotho PMS were highlighted.

CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

The aim of this chapter is to identify challenges that impede the implementation of the PMS in the MSD in Lesotho since 2000 to 2014 by means of empirical research. Consequently, this chapter starts by introducing the research design and data collection techniques in Section 4.2. In Section 4.2.1, a literature review is discussed. This is followed by an explanation of the questionnaire in Section 4.2.2, which clearly outlines the guidelines in constructing the questionnaire. The chapter also discusses study population in Section 4.3, sample size in Section 4.3.1 and sampling procedures in Section 4.3.2. The chapter also highlights the instrument validity and reliability followed in this study in Section 4.5. This is followed by pre-testing the questionnaire in Section 4.6. Ethical considerations employed in the study are explained in Section 4.7 and statistical techniques used are clarified in Section 4.8. This chapter ends with concluding remarks in Section 4.9.

4.2 RESEARCH DESIGN AND DATA COLLECTION TECHNIQUES

Welman, Kruger and Mitchell (2005: 46) explain that a research design is a plan according to which research participants (subjects) are selected in order to collect information. For Blaikie (2010: 37), the research design is the plan, structure and strategy of investigation conceived to obtain answers to research questions and to control variance. The plan is the overall scheme or programme of the research. It includes an outline of what the investigator will do from writing the hypotheses and their operational implications to the final analysis of the data. Fox and Bayat (2013: 51) define a research design as the actual plan in terms of which one obtains research participants or subjects and collect data from them. One of the most important issues in a research design is the aspects of empirical work that concerns the decisions such as what to be done on the population, which is the sample of that population and which other populations are involved in the research to be established. A poor design will fail to provide accurate answers to the question under investigation; a good research design will be precise, logistically tight and efficient.

Research designs could be classified in to the following types; experiments, social surveys, fieldwork, longitudinal study, cross-sectional study, case study, comparative/historical, secondary analysis, action research, evaluation research and impact assessment (Blaikie, 2010: 39-40). The research design choice of this study was a case study. The term case study is defined by Welman and Kruger (cited in Fox and Bayat, 2013: 69), as referring to the fact that a number of units of analysis, such as an individual, a group or an institution are studied intensively. Graziano and Raulin (2013: 123) define case study as making extensive

observations of an individual or small group of individuals. In a case study, if an institution is studied, it should be highly representative of a particular population. The authors further define a case study as an in-depth, detailed analysis and examination of a small number of subjects, or of a single subject (case), group, or event. Often the researcher is an observer, participant or interviewer and the data are collected in a relatively unsystematic fashion. In a case study, many details are collected and gathered, with no requirement that the subject or groups studied be compared with any other subject or groups. Data are collected for descriptive purposes. In this study, a case study was conducted in the thirteen departments (Administration, Operations, Procurement, Human Resources, Planning, Finance, Legal, Children's Services, Disability Services, Elderly Services, Information, Audit and Information, and Technology) within the Ministry of Social Development in Lesotho in order to identify challenges that impede the implementation of the PMS.

Based on design chosen, the researcher needed to identify the appropriate research method to be employed in the study. The research method of this study was an explanatory study. According to Fox and Bayat (2013: 31), one of the purposes of scientific management research is to explain things. The main aim of explanatory investigations is to indicate causality between events or variables. Explanatory research is the kind of research that seeks to scratch earnestly below the surface by providing detailed patterns and trends on a given matter under investigation (Sakunasigha, 2006: 80). It measures the strength of a relationship between variables through data collection, analysis and interpretation. Explanatory research seeks to show the causality between variables or phenomena. This study conforms to explanatory study, as it has explained thoroughly challenges in the implementation of the performance management system in the Ministry of Social Development in Lesotho and the strategies discovered by the study to improve the implementation of the PMS.

There are two approaches of research. One can distinguish between qualitative and quantitative research methods. Qualitative research methods as explained by Fox and Bayat (2013: 7), are designed to explain events, people and matters associated with them scientifically and does not depend on numerical data, although it may make use of quantitative methods and techniques. In this study, the method of data collection techniques used was a quantitative approach. Fox and Bayat (2013: 7) are of the opinion that quantitative research concerns things that can be counted. One of its most common disciplines is the use of statistics to process and explain data and to summarise findings. In general, quantitative research is concerned with systematic measurement, statistical analysis and methods of experimentation.

The study employed a quantitative approach, which consisted of tables and graphical representation. As Fox and Bayat (2013: 77) observe, a quantitative research embodies investigations where the relative data can be analysed in terms of numbers that may be quantified or summarised. The following are the characteristics of a quantitative research (Fox and Bayat, 2013: 78);

- i) Data are in the form of numbers.
- ii) The focus is concise and narrow.
- iii) Data are collected by means of structured instruments such as questionnaires.
- iv) Results supply less detail as far as behaviour; attitudes and motivation are concerned.
- v) Results are based on larger sample sizes representative of the population.
- vi) Given its high reliability, the research can be repeated or replicated.
- vii) Analysis of results is more objective.
- viii) Hypotheses may be tested.
- ix) Concepts are in the form of distinct variables.
- x) Standardised measures are systematically created before data collection.
- xi) Reasoning is logically deductive, going from the general to the specific.
- xii) Knowledge is based on the relationship between cause and effect.
- xiii) Analysis progresses by way of charts, statistics, tables and discussion on what they reveal in relationship to the hypothesis.

Babbie (2010) and Muijs (2010) further outline the advantages of a quantitative research. According to these authors, the use of numbers allows greater precision in reporting results and powerful methods of mathematical analysis can be used in the form of computer software packages. The computer programme employed in this study is known as the Statistical Package for Social Sciences (SPSS) version 23.

Against this background, the following section sheds light on the literature review and questionnaire as modes of data collection techniques used in this study to gather information on challenges in the implementation of the performance management system in the Ministry of Social Development in Lesotho.

4.2.1 Literature review

According to Fox and Bayat (2013: 14), all research projects fall within scientific boundaries, and have to be placed within some theoretical framework. There is also a possibility that other researchers could have investigated the same or virtually similar question or problem. Therefore, it is essential that the literature devoted to the area of research be reviewed to ascertain whether the problem has already been addressed or solved. By compiling a review

of research, findings on a particular topic that have already been published, researchers may become aware of inconsistencies and gaps that may justify further research. Such a review enables researchers to indicate exactly where their proposed research fits in. There are various reasons why a literature search is important and these will be discussed in the following paragraphs (Welman, Kruger and Mitchell, 2005: 38-39):

- i) A review of related literature can provide the researcher with important facts and background information about the subject under study.
- ii) Such a review also enables the researcher to avoid duplicating previous research.
- iii) If a study on the same topic has been conducted before, a review provides the researcher with information about aspects of the problem, which have not been investigated or explored before.
- iv) A review can also help a researcher develop various parts of the study.
- v) Insights regarding the weaknesses and problems of previous studies can be gained.
- vi) The researcher can get ideas on how to proceed with the investigation.
- vii) In relational and exploratory studies, the review provides the researcher with a basis in order to determine variable relationships, types of relationships and measurement.
- viii) Findings and conclusions of past studies can be accessed which the researcher can relate to his own findings and conclusions.
- ix) Lastly, a review often provides motivation.

In this study, the review of the literature used was derived from both secondary and primary sources of data as discussed under heading 4.2. This was used to write Chapters 2 and 3 that dealt with the following objectives of the study, respectively; to provide an overview of the theoretical foundation and frameworks of the performance management (Chapter 2); and to document the existing legislative frameworks and policies supporting the implementation of the performance management system in the MSD in Lesotho (Chapter 3).

Based on the above background, it could be deduced that the use of a literature review as a method of gathering data helped the researcher to obtain all the relevant information regarding challenges in the implementation of the performance management system in the Ministry of Social Development in Lesotho. Therefore, in the ensuing paragraphs, the questionnaire as an instrument of data collection is expounded.

4.2.2 The questionnaire

According to Callery (2005: 413), the concept of questionnaire denotes a set of questions with fixed wording and a sequence of presentation as well as precise indications of how to answer each question. Callery (2005: 413) further highlights that questionnaires are

perceived to be an effective method of data collection, even though they are based on the assumption and hope that respondents will cooperate, give truthful responses and be willing to respond to the questions. Questionnaires are the most popular instruments of data collection in quantitative research. They permit the respondents to arrange and present their responses carefully and thoughtfully. Questionnaires are the most cost effective and timesaving of all the data-gathering instruments.

In this study, the questionnaire (Annexure C) was structured into three sections; Section A covered the biographical data of respondents, while Section B sought views from the respondents on challenges of implementing the performance management system of the Ministry of Social Development in Lesotho. Section C sought views on strategies to be adopted by managers in improving the implementation of the PMS in the MSD. The questions were coded into four response segments (i.e. *poor, moderate, very good and excellent*). There were six questions in Section A (Biographical data), fourteen questions in Section B (PMS implementation) and two questions in Section C (Strategies for improving implementation of PMS) and it took respondents about 20 minutes to complete.

In constructing the questionnaire (Annexure C) for this study, the following guidelines as noted by Synodinos (2003: 226-230) were addressed:

- i) Language and wording of the questions were simple, clear and concise.
- ii) Questions' order or sequence was applied in this study.
- iii) Linkage of the questions to the research objectives – each of the questions was linked to the objectives of the study.
- iv) Number of questions and their length conformed to the standard length of questions – 22 questions were asked to respondents.
- v) Questions' response choices (i.e. whether open-ended or closed-ended) –in this study closed-ended questions were used and coded into four segments that best provide a description. The study also used open-ended questions in Section C.
- vi) Questions' pertinence to the audience or the respondent – the questions were relevant to the target audience as they have an insight or knowledge of the concept of the performance management system. In this study a sample size of 79 public officials at managerial level (salary Grade F–M) in the Ministry of Social Development in Lesotho were given questionnaires to fill. Therefore, the cost and time that could be spent on this number of respondents could be impractical for the purpose of this study. Many scholars share the view that it is usually impossible to interview all subjects of a scientific research and as such, only a sample of them can be used to obtain

information. A covering letter (Annexure B) to respondents was attached to the questionnaire explaining the purpose of this research.

4.3 STUDY POPULATION

The population for a study refers to that group (usually of people) about whom one wants to be able to draw conclusions because one cannot study all members of the population (Graziano and Raulin, 2013: 82). In other words, the study population is that aggregation of elements from which the sample is actually selected. For Fox and Bayat (2013: 51), the population is the object of research and consists, among others, of individuals, groups, organisations, human products and events or the conditions to which they are exposed. In human research, a population is the larger group of all the people of interest from which the sample is selected (Graziano and Raulin, 2005: 112). In this study, the relevant study population was the one hundred (100) public officers from salary Grade F–M in the 13 departments within the Ministry of Social Development in Lesotho.

4.3.1 Sample size

Before the researcher could draw a sample of the population, she had to be clear about the population or units of analysis to which the hypothesis/hypotheses or questions applied. This required compiling a sampling frame (Welman et al., 2005: 57-59). A sample frame is the complete list in which each unit of analysis is mentioned only once. The sample should be representative of the sampling frame, which preferably is the same as the population, but which often differs because of practical problems related to the availability of information.

In this study, a sample size of 79 public officers at managerial level from salary Grades F-M, within the 13 departments in the Ministry of Social Development in Lesotho were given questionnaires to complete. This sample was drawn from a table adapted by Lekhetho and Royse (cited in Sefali, 2010: 118). In selecting the sample size, the following guidelines supported by Fox and Bayat (2013: 61) should have been considered:

- i) The confidence that one needs to have in one's data, i.e. the level of certainty that one needs for the characteristic of the collected data to represent the characteristics of the total population, for instance, in this study the level of confidence was at 95% of the total population.
- ii) The margin of error that one can tolerate, i.e. the accuracy that one requires for any estimates made for one's sample. In this study, a sample was representative, at 5% of the total population, which was at 95% confidence level or 5% at the tolerable error (Lekhetho, cited in Sefali, 2010: 118).

- iii) The types of analysis that one is going to carry out, especially the number of categories into which one wishes to sub-divide one's data, because many statistical techniques have a minimum threshold of data cases for every variable.
- iv) The size of the total population from which one's sample will be drawn. In this study, the size of the population was 100 public officers from salary Grades F-M in the MSD in Lesotho.

Consequently, there are two kinds of sampling techniques. These are; a) probability sampling and b) non-probability sampling. A stratified random sampling was used in this study because it was cheaper, representative and effective, even with a small sample size, rather than a simple random sampling, which required a large sample size. As Fox and Bayat (2013: 55) contend, although in simple random sampling, each element of the population has the same chance of being drawn during the first and each successive draw, simple random sampling is not always the best method of drawing samples, as it is not always a good reflection of the population as a whole (it is not always representative).

In this study, a probability-stratified random-sampling was used to select 79 public officers in salary Grade F-M within the Ministry of Social Development in Lesotho who responded to the questionnaire. According to Fox and Bayat (2013: 55-56), stratified random sampling is the statistical method in which the sample of respondents is broken down into "strata" or "subgroups" and then selected randomly from strata. The list of officers in the Ministry of Social Development in Lesotho derived from the Ministry's Human Resource Salary Bill June 2014 was used as a sample frame. Fox and Bayat (2013: 52) define a sampling frame as the list or quasi-list of elements from which a probability sample is selected. In order for a sample to be representative, it has to be 5% of the total population, which is at 95% confidence level or 5% at the tolerable error. In this study, the sample size was determined as thus, with the view that the categories selected had a better understanding of the performance management system in the public service than officials below salary Grade F. In this category of salary Grades (F-M), the population was divided into groups on the basis of gender (50% female and 50% male in all departments of the Ministry of Social Development) and age (younger than age 30, age 30-40, older than age 40 and older than 50). In this way, these age groups were exactly represented in the population, whereas in simple random sampling it would not necessarily have yielded a similar sample.

4.3.2 Sampling procedures

Research methodologists have developed sampling procedures that should identify a sample that is representative of the population. The sample resembles the target population

on all relevant characteristics closely. In scientific research, before selecting a sample procedure, the researcher should observe the following guidelines:

- i) Select the unit of analysis (e.g., if the unit of analysis is public officers, then the sampling technique must focus solely on how the public officers were selected.
- ii) Determine how many units need to be sampled. Many sampling procedures have been developed by various authors to ensure that a sample adequately represents the target population.

The following two sampling procedures are identified:

Simple Random Sampling – in this, every individual in the target population has an equal chance of being part of the sample and this requires two steps namely to obtain a complete list of the population and randomly select individuals from that list for the sample.

Stratified Random Sampling is where the researcher first divides the population into groups based on relevant characteristics and then selects participants within those groups. In this study the strata that were used were;

- a) Sample from public officers at salary Grade F–H (middle management) and
- b) Sample from public officers at salary Grade I–M (senior management)

The Human Resource Salary Bill June 2014 from the Ministry of Social Development in Lesotho was used as a sample frame. When using the stratified random sampling the following four steps are required:

- i) Determine the strata that the population will be divided into. The strata are the characteristics that the population is divided into. In this case, it was the salary Grades (F–M) of public officers (female and male) who participated in this study, who were at four age groups; younger than age 30, age 30–40, older than age 40 and older than 50.
- ii) Determine the number of participants necessary for each stratum. This could be attained by selecting half males and half females in each subgroup. In this study, 50% male and 50% female were selected in all the departments of the MSD in Lesotho at the above-mentioned three age groups.
- iii) Split the units of analysis into the respective strata. If the target population is public officers, the researcher would need two lists of the target population: one list of the male public officers and another list of the female public officers.
- iv) Randomly sample participants from within the group. This could be done by randomly selecting the requisite number of males and females, i.e. 20 males and 20 females.

4.4 ENSURING INSTRUMENT VALIDITY AND RELIABILITY

All acceptable research has to be both valid and reliable. In conventional usage, the term *validity* refers to the extent to which an empirical measure adequately reflects the real meaning of the concept under consideration. Validity means that a measurement represents what it is supposed to represent. A valid measure accurately represents the relationship between things (Fox and Bayat, 2013: 144), in other words, validity means accuracy or adjustment. There are numerous yardsticks for determining validity: face validity, criterion-related/predictive validity, and content validity, construct validity, concurrent validity, internal validity and external validity (Fox and Bayat, 2013: 144-145). Validity of the study is very crucial, because it can help determine what types of tests to use, and help to make researchers using methods that are not only ethical and cost-effective, but also a method that truly measures the idea or construct in question. In this study, validity of measuring instrument was ensured through representativeness of sample size, which was been discussed in 4.3.1.

Reliability refers to the fact that if a test, model or measurement is consistent it is reliable, supplying the same answer at different times. Reliability in measurement is the same as reliability in any other context. Therefore, when measurements are consistent from one research session to another, they are reliable, and some degree of faith may be placed in them (Fox and Bayat, 2013: 145). The research methodology employed in this study ensured reliability and validity through the data collection and analysis measurements discussed in 4.2 and 4.9. Research reliability or replication of the research findings is most likely to happen in quantitative research than in qualitative research because of the research methods differences inherent in both approaches (Ruffin, 2007: 80). Qualitative research methods do not emphasise reliability of the findings as much as the quantitative research methods do, and it is therefore more likely to replicate the research findings in the latter than it is with the former (Ruffin, 2007: 80-81). Reliability is further defined by an example that when someone claims that “this information indicates that the public approves private enterprise” one would want to know if the same information could be found each time researchers collected it and whether it would be the same from similar respondents. Mtaita (2007: 62) also admits that reliability is mostly applicable in quantitative research, because it has a larger “scope for control and manipulation of the phenomena” than the qualitative research does.

The questionnaire used in this study applied structured (closed-ended) questions and unstructured (open-ended) questions. A closed-ended questionnaire provided the researcher with quantitative or numerical data and an open-ended questionnaire with

qualitative information. Since each type of questionnaire has its own strengths and weaknesses, Seliger and Shohamy (cited in Zohrabi, 2013: 254) are of the opinion that closed-ended questionnaires are more efficient because of their ease of analysis. On the other hand, Gillham (cited in Zohrabi, 2013: 255) argues that open-ended questions can lead to a greater level of discovery. He admits the difficulty of analysing open-ended questionnaires. The important issue in open-ended questions is that the responses to these types of “questions will more accurately reflect what the respondent wants to say” (Nunan, cited in Zohrabi, 2013: 255). It is therefore crucial that any questionnaire includes both closed-ended and open-ended questions to complement each other.

4.5 PILOT-TESTING THE QUESTIONNAIRE

According to McMillan (2008: 160), a test refers to an instrument that requires subjects to complete a cognitive task by responding to a standard set of questions. In every research, it is crucial to pilot-test questionnaires before they could be distributed to a large sample in order to discern from participants whether they understand the questions and to establish whether the questionnaire addresses the objectives of the study. Before questionnaires could be administered, they had to undergo pre-testing or pilot testing. Questionnaire pre-testing or pilot testing is an important component of questionnaire construction. For Muneenam (2006: 131-132) and Lethale (2005: 31), questionnaire pre-testing or pilot-testing refers to subjecting the questionnaire to a small sample of respondents in order to find out the limitations it may have in terms of the language, user-friendliness, design and suitability of the instrument. This view is shared by McMillan (2008: 163), who believes that questionnaire pilot-testing is a vital component of a questionnaire design that is carried out after an initial questionnaire has been developed and administered to a small sample of respondents to assess whether it would be understood and whether it would gather the required data. Pilot-testing questionnaires can be done through interviews or administered questionnaires. In this study, the questionnaires that were used were pilot-tested and a sample size of five respondents was used to determine whether participants understood the questionnaire and to establish whether the questionnaire served the aim and objectives of the study.

Muneenam (2006: 131-132) recommends that when pilot-testing a questionnaire, sampled respondents must check that the questions are not ambiguous, vague or confusing. Thereafter, the questionnaire should be improved based on the inputs made by sampled respondents, comments made by respondents should be considered and patterns of reactions should not be ignored. However, the researcher must distinguish between meaningful and meaningless comments at all times, as it is also impossible to include all

recommendations made by respondents during the pilot-testing stage. After the pilot study, certain recommendations made by the respondents are considered and minor changes effected. As mentioned above, a pilot-test in this study was conducted to test the correctness, relevance, accuracy and lucidity of the questions. Five (5) public officers from salary Grades F, G, H, I and J were chosen to fill pilot-test questionnaire within the Ministry of Social Development in Lesotho in five departments i.e. Administration, Children's Services, Disability Services, HR and Planning. Based on the feedback and observations from this pilot-testing, adjustments were made to the final questionnaire. It was observed that coding of questions into four response segments (*poor, moderate, very good and excellent*) is restrictive, as it does not accommodate respondents who do not have any idea regarding the given options to the questions. As such, the questions using these segments, for example 7, 9, 11, 13, 17 and 19 were amended to *poor/none* (Below the required level). This process was executed to ensure that errors and pit-falls within the questionnaire were identified and rectified before data were collected. The results of a pilot-test helped to determine whether the questions were relevant to the research problem and thus conclusions drawn would be applicable to the situation in the ministry.

4.6 ETHICAL CONSIDERATIONS

Ethics are generally considered to deal with beliefs regarding what is morally good or bad, right or wrong, proper or improper (Opie, 2004: 25; Van Niekerk, 2009: 119). According to Fox and Bayat (2013: 148), *ethical* is defined as "conforming to the standards of conduct of a given profession or group". The central ethical demands in research in human, as Graziano and Raulin (2005: 142) posit are that participants should have reasonable knowledge about the study in which they participate must be protected from harm, should be able to give informed consent, and should be free to refuse or withdraw at any time. In social scientific research, the researcher must be aware of the general agreements shared by researchers about what is proper and improper in the conduct of scientific inquiry. Ethical agreements that prevail in social research include voluntary participation, no harm to the participants, anonymity and confidentiality.

Voluntary participation takes place when the researcher asks participants to complete a questionnaire for purposes of research. Participants should always be told that their participation in the survey is voluntary. In this particular study, such information was revealed to the participants. No harm to the participants: Social research should not injure the people being studied for instance, the researcher should assure participant that he/she would not reveal information that would embarrass them or endanger their lives, home, friendships and jobs (Fox and Bayat, 2013: 148). In anonymity, a respondent may be considered

anonymous when the researcher cannot identify a given response with a given respondent. Since the data collection instruments that were used in this study were questionnaires completed by participants on their own in the absence of the researcher, the study therefore conformed to this aspect.

Confidentiality: in this particular aspect of ethics, the researcher is able to identify a given person's responses but essentially promises not to do so publicly. The questionnaires that were given to participants in this study had a covering letter stating that the information that the participants provided would remain confidential and participants would not be asked to provide their names.

All the above requirements were complied with in this study. In order to adhere to the requirements of ethics, the researcher made a presentation of the research proposal to the Department Research Committee. After evaluation, decisions were made that the supervisor could present the proposal for approval to the Research Committee of the Faculty of Economic and Management Sciences at the University of the Free State. Approval was granted in June 2014 (Annexure A) and the researcher solicited permission to authorities of the Ministry of Social Development to enable the researcher to conduct a study in the ministry (Annexure D). Permission was granted by the Ministry of Social Development for the researcher to conduct a study in the ministry (Annexure E). Furthermore, an informed consent was solicited from respondents within the Ministry of Social Development in Lesotho. All respondents were fully informed about the topic of research.

This study employed a self-administered questionnaire, because it could be administered to a group of respondents gathered together at the same place and at the same time. In this case, questionnaires were hand delivered to respondents throughout the different departments of the Ministry of Social Development in Lesotho. Confidentiality of information provided by respondents was ensured because respondents were informed before completing the questionnaire that the information they provided would be used for academic purposes only and that their participation was voluntary; thus, no information provided by respondents could pose any harm to their work or their home. Anonymity was ensured in that the questionnaires filled by respondents were not linked to respondents, as respondents were required to submit filled questionnaires with no names at the Human Resources Office. This was meant to protect the subject's identity and well-being.

4.7 STATISTICAL TECHNIQUES

In the design phase, it is important to determine the kind or type of statistical procedure appropriate in data analysis. The appropriate statistical procedures depend upon the characteristics of the research such as the number of independent variables, type of question, level of measurement for each dependent variable and the research hypothesis (Graziano and Raulin, 2005: 351-356). Once data have been collected, it must be organised and coded. In this study, data were edited and then coded before it could be analysed in order to detect and correct errors in the responses. Coding, as observed by Graziano and Raulin (2005: 351), means that the researcher has to identify the variable that needs to be analysed statistically and decide on the different code values such a variable level presents. Data entry is often simplified by assigning numbers or symbols to represent responses. If only numbers are included in a coding scheme, it is called numeric. If letters or a mixture of numbers, letters and special symbols are chosen, the code is termed alphanumeric or string. By coding, a researcher substantially decreases the number of symbols that need to be typed, especially for variables whose values are originally recorded as words. In this study, closed-ended questions were used and pre-coded. The coded values were labelled on the output using SPSS version 23, which had instructions or commands to ensure that coding occurred effectively. There are two types of statistical techniques, namely descriptive and inferential statistics (Fox and Bayat, 2013: 125-128) and this study employed descriptive statistics.

Descriptive statistics refers to statistical techniques and methods designed to reduce sets of data and make interpretation easier (Fox and Bayat, 2013: 111). It is the collection, organising, presentation and analysis of data. The authors further explain that reference is actually made to a number of methods and techniques where numerical data are collected, displayed and analysed scientifically and from which logical decisions, conclusions and recommendations may be made. Descriptive statistics deal with the description and/or summary of data obtained for a group of individual units of analysis. In a computerised statistical analysis, descriptive statistics serve two purposes. The first is to describe the data, especially on those variables that will not be a part of the inferential statistical analysis. The second purpose is to find evidence of errors in the data entry process.

Three important groups of descriptive statistics are used in this study, namely frequency distribution, graphical representation of data and summary statistics (Graziano and Raulin, 2005: 95). Each one group is explained below.

4.7.1 Frequency distribution

According to Graziano and Raulin (2005: 96), frequency distribution involves nominal and ordinal data. For most nominal and ordinal data, statistical simplification involves computing frequencies (i.e. the number of participants who fall in each category). In any frequency distribution, when we sum across all categories, the total should always equal the number of participants. It is helpful to convert frequencies to percentages by dividing the frequency in each cell by the total number of participants and multiplying each of these proportions by 100.

4.7.2 Graphical representation of data

In statistics there is a common saying that one picture is worth a thousand words. Graphs often clarify a data set or help to interpret a summary statistic or statistical test. Most people find graphic representations easier to understand than other statistical procedures. The use of graphs and tables is encouraged as supplements to other statistical procedures. Frequency or grouped frequency distributions can be represented graphically by using either a histogram or a frequency polygon. Both the histogram and the frequency polygon represent data on a two-dimensional graph where the horizontal axis (x-axis or abscissa) represents the range of scores for the variable and the vertical axis (y-axis or ordinate) represents the frequency of the scores. In a histogram, the frequency of a given score is represented by the height of a bar above that score. In the frequency polygon, the frequency is indicated by the height of a point above each score on the abscissa. To aid in the interpretation of histograms and frequency polygons, it is important to label both axes carefully. Two or more frequency distributions can be displayed on the same graph. To compare the distributions, each is graphed independently with different colours or different types of lines (solid versus dotted) to distinguish one distribution from the other.

4.7.3 Summary statistics

Summary statistics (e.g. measures of central tendency, variability and relationship) serve two purposes (Graziano and Raulin, 2005: 102). The first purpose is to describe the data with just one or two numbers, which makes it easier to compare groups. The second is to provide a basis for later analysis in which inferential statistics will be used. In the next paragraphs, measures of central tendency will be explained.

4.7.4 Measures of central tendency

Measures of central tendency describe the typical or average score. They are called measures of central tendency, because they provide an indication of the centre of the

distribution where most of the scores tend to cluster. The mode is the most frequently occurring score in the distribution (Graziano and Raulin, 2005: 102).

The second measure of central tendency is the median. This is the middle score in a distribution where the scores have been arranged in order from lowest to highest. The median is also the 50th percentile, which means that half the scores fall below and half above the median. With an odd number of scores, the median is the $(N + 1/2)$, where N is the number of scores. The most commonly used measure of central tendency is the mean (arithmetic average of all of the scores). The mean is computed by summing the scores and dividing by the number of scores. The mean and the median are frequently used to describe the average score. The median gives a better indication of what the typical score is if there are some deviant scores in the distribution (i.e. unusually high or low).

4.7.5 Measures of variability

Measures of variability explain the range, variance and standard deviation. Variability is one of the most important concepts in research and a fact. Individuals differ from one another on many factors, including age, sex, personality, height, intelligence, attitudes, interests, etc. and these differences affect their response to stimuli. Most research designs and statistical procedures are developed to control or minimise the effects of natural variability of scores. Participants differ from one another and those differences are reflected in differences in scores on any variable measured (Graziano and Raulin, 2005: 104-105). The simplest measure of variability is the range, which is the distance from the lowest to the highest score. Variance is also a measure of variability.

4.7.6 Measures of relationship (correlation and regression)

Measures of central tendency and variability are basic descriptive statistics that summarise the distribution of a variable (Graziano and Raulin, 2005: 108). At times, however, researchers need to know more about a variable, such as what relationship it has to other variables. This relationship or association between variables is best indexed with a correlation coefficient, which mostly involves two variables.

This study used the above stated statistical procedures such as the mode, mean and frequency distribution. To show results of the study, the statistical procedures used were in the form of tables and graphical distributions, i.e. bar diagrams and tables. These statistical techniques were presented using a computer software programme known as the Statistical Package for Social Sciences (SPSS) version 23.

4.8 CONCLUDING REMARKS

The research methodology chapter presented the research design and data collection techniques employed in this study. The literature review, which provided an insight into previous research findings relating to the research topic was clarified. The data collection instrument, i.e. a questionnaire was clarified. The chapter also provided an explanation of the study population, sample size and sampling procedures followed in this study. Reliability and trustworthiness of instruments were explicated. Validity and reliability of instruments were outlined. Ethical considerations in scientific research were enlightened. The chapter concluded by providing a better understanding of statistical techniques adopted in this study.

CHAPTER 5: DATA ANALYSIS AND RESEARCH FINDINGS

5.1 INTRODUCTION

This chapter presents the results and an analysis of respondents' feedback on the 22 questions posed to address the aim of the study, i.e. to identify challenges that impede on the implementation of the performance management system in the MSD since 2000 to 2014. Results of the study are shown in tables, figures and words. Chapter 5 is divided into three sections. The first Section (5.2) portrays the biographic data of the respondents captured in Section A of the questionnaire (Annexure C). The second Section (5.3) addresses challenges that impede the implementation of the PMS in the MSD (Section B of the questionnaire). Section B of the questionnaire also addresses objective (iii) of the study. The third Section (5.4) of this chapter focuses on the two objectives of the study, i.e. (iv) to propose strategies to be employed by managers within the ministry's departments for improving the implementation of the performance management system and (iii) to identify challenges that impede the implementation of the MSD in Lesotho.

5.2 BIOGRAPHICAL DATA

Section A of the questionnaire gathered the biographical data of the respondents and it consisted of six questions (Annexure C). The purpose of this section was to document respondent's positions, departments, current grades and experience in the public service, gender and age. These variables were used in the study as they could have a direct relationship to responses on the other questions asked. A total number of 79 questionnaires were distributed across departments in the MSD; 46 were completed, representing a response rate of 58.22%. Of the 46 respondents, 22 (47.8%) were males and 24 (52.2%) females; 44 (95.65%) positions were graded, while 2 (4.35%) were not. The majority of the respondents (n=26) fell in the age group 30-40 years. Seven respondents indicated that they were younger than 30, 8 respondents were older than 40 and 5 respondents were older than 50 (data not shown).

Table 5.1: Current positions held within the Ministry of Social Development

CURRENT POSITION HELD	Frequency (n=46)	Percentage (100%)
Officer <u>Salary Grade F:</u> Bursary Administrator, Rehabilitation Officer (3), Instructor (4), Senior Accountant (2), Social Worker (4), Vocational Guidance Officer <u>Salary Grade G:</u> Human Resources (3), Administrator, Procurement Officer, Economic Planner (2), Monitoring & Evaluation Officer (2)	24	52.17
Assistant <u>Salary grade ungraded:</u> Auxiliary Social Welfare Officer <u>Salary Grade F:</u> Administration Officer, Assistant Economic Planner, Assistant Human Resource Officer (2), Assistant Procurement Officer (2)	7	15.22
Senior <u>Salary Grade G:</u> Senior Instructor, Senior Child Welfare Officer (2), Senior Social Worker <u>Salary Grade H:</u> Senior Economic Planner, Principal Rehabilitation Officer	6	13.04
Coordinator <u>Salary Grade F:</u> Case Management Coordinator <u>Salary Grade I:</u> National OVC Coordinator and Community Based Rehabilitation Coordinator <u>Salary grade ungraded:</u> Operations Coordinator <u>Salary Grade H:</u> Assistant OVC Coordinator	5	10.87
Director <u>Salary Grade J:</u> Director Operations, Director Planning, Director Elderly Services	3	6.52
Manager position: <u>Salary Grade I:</u> Chief Legal Officer	1	2.17

Table 5.2 depicted the salary grades of the respondents in the Ministry of Social Development. The grades of respondents ranged from salary Grade F–J. The majority of respondents (22=47.83%) were at salary Grade F (typical on the level of an assistant – Table 5.1), 13 respondents (28.26%) on salary Grade G (level of officer) and 3 respondents (who responded to question 3) on Grades H, I and J (Table 5.2), respectively. There were 2 (4.35%) ungraded positions: Auxiliary Social Welfare Officer and Operations Coordinator.

Table 5.2: Current salary grades held within the Ministry of Social Development

Salary Grade	Frequency	Percent	Valid Percent	Cumulative Percent
Valid F	22	47.8	50.0	50.0
G	13	28.3	29.5	79.5
H	3	6.5	6.8	86.4
I	3	6.5	6.8	93.2
J	3	6.5	6.8	100.0
Total	44	95.7	100.0	
Missing System	2	4.3		
Total	46	100.0		

It could be deduced that work responsibilities permitted respondents on salary Grades F and G to participate in the survey, while Grades K, L and M had additional management commitments that might have prevented them to fill in the questionnaires, although they

were targeted. From Table 5.2 it is noted that the majority of the respondents were on salary Grades F and G. These respondents worked with the performance management system in the MSD on a regular basis. They were responsible for updating their own performance plans and presented it to their supervisors on a quarterly basis. Simultaneously they also acted as supervisors and needed to evaluate the performance of their subordinates. It was therefore expected that these respondents would have at least an average knowledge of the documents relevant to the implementation of the PMS in the MSD. No responses were received for salary Grades K, L and M (more senior positions in the ministry). Salary Grade K is a permanent position of the Deputy Principal Secretary, while salary Grades L and M are statutory positions. Statutory positions are politically appointed positions, which are designated to members of the ruling parties with expertise in specific areas and are offered to members on contracts. According to the 2012/2013 Civil Service Establishment List (2012: 338), three officials occupied salary Grades K, L and M, respectively. The absence of the latter respondents could not affect the findings of this study adversely.

From the responses in Section A of the questionnaire (Annexure C), the following deductions could be made. The distribution between males and females was fair, 22 and 24, respectively. It further appeared that from the 13 departments that were identified to participate in this study, 10 did and ensured the validity of the responses. The mean age of the respondents was an indication that the majority of the respondents found themselves in their 30s. Salary grades of respondents were from F to J and two ungraded positions (Table 5.2). It could thus be concluded that the majority of the respondents were expected to have experience in the implementation of the performance management system within the departments of MSD. The respondents' current positions within the Ministry of Social Development were on par with what the study envisaged; it intended to seek information from officers at the level of salary Grade F and above, mostly held by university graduates. This category had a broader knowledge of the PMS implementation.

5.3 SECTION B: IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO


Fourteen questions were posed in Section B of the questionnaire (Annexure C). The purpose of this section was to document responses regarding the implementation of the PMS in the MSD. The responses to these 14 questions are now to be analysed.

5.3.1 Knowledge about the content of documents relevant to the implementation of the PMS in the MSD

Question 7 asked the respondents to rate their knowledge about the content of the documents relevant to the implementation of the PMS in the MSD. These respective documents as discussed in Chapter 3 form the backbone so to speak of all future strategies and plans, which are of vital importance in the implementation of the PMS. The respondents were asked to respond to one of the following four categories, i.e. 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent*. The responses are depicted in Table 5.3.

Table 5.3: Responses to knowledge about the content of the following documents relevant to the implementation of the PMS in the MSD

DOCUMENTS RELEVANT TO THE IMPLEMENTATION OF THE PMS	POOR /NONE	MODERATE	VERY GOOD	EXCELLENT
United Nations Millennium Development Goals (n=44)	18.2%	50.0%	20.5%	11.4%
National Vision 2020 (n=44)	11.4%	45.5%	34.1%	9.1%
National Strategic Development Plan 2012/13 – 2016/17 (n=41)	9.8%	43.9%	36.6%	9.8%
National Policy on Social Development 2014/15 - 2023/24 (n=45)	15.6%	17.8%	42.2%	24.4%
National Social Protection Strategy 2014/15 – 2018/19 (n=44)	18.2%	15.9%	40.9%	25.0%
National Rehabilitation and Disability Policy 2011 (n=46)	19.6%	28.3%	32.6%	19.6%
Ministerial Strategic Plan 2014/15 – 2016/17 (n=45)	8.9%	37.8%	26.7%	26.7%
Ministry of Health and Social Welfare HRD & Strategic Plan (n=44)	43.2%	36.4%	13.6%	6.8%
National Strategic Plan on Vulnerable Children 2012 – 2017 (n=46)	21.7%	32.6%	30.4%	15.2%
Reward and Recognition Policy 2009 (n=45)	64.4%	24.4%	4.4%	6.7%
National Rehabilitation and Disability Policy 2011 (n=46)	54.3%	28.3%	13.0%	4.3%
Performance Management and Development Policy 2009 (n=44)	45.7%	43.5%	8.7%	2.2%
Draft PMS Policy 2013 (n=43)	53.5%	27.9%	14.0%	4.7%
Performance and Development Management Policy 2010 (n=44)	52.3%	34.1%	9.1%	4.5%
PMS Policy 2005 (n=44)	45.5%	36.4%	11.4%	6.8%
Policy for Older Persons 2014 (n=46)	37.0%	34.8%	15.2%	13.0%

 Indicative of the highest percentage within the response category of that particular document

At first glance, it was noted from Table 5.3 (column 2), that the respondents significantly indicated their knowledge of seven policies was below the required level (poor/ none). This response rate was relevant to the Ministry of Health and Social Welfare HRD & Strategic Plan (43.2%); Reward and Recognition Policy 2009 (64.4%); National Rehabilitation and Disability Policy 2011 (54.3%); Draft PMS Policy 2005 (53.5%); Performance and Development Management Policy 2010 (52.3%); PMS policy 2005 (45.5%) and the Policy for Older Persons 2014 (37.0%). What is further cumbersome is that another five documents (United Nations Millennium Development Goals; National Vision 2020; National Strategic Development Plan 2012/13–2016/17; Ministerial Strategic Plan 2014/15–2016/17 and National Strategic Plan on Vulnerable Children 2012–2017), relevant to the implementation of the PMS in the MSD were moderately known (Table 5.3, column 3). Although the latter indicated that the respondents' knowledge was at a required level, it would have been preferred that their knowledge resulted in higher percentages in the excellent response category (column 5, Table 5.3). The three documents that are known at a consistent standard are the National Policy on Social Development 2014/15–2023/24 (42.2%); National Social Protection Strategy 2014/15–2018/19 (40.9%); and the National Rehabilitation and Disability Policy 2011 (32.6%). There were few responses in the category for knowledge regarding all the listed documents in the *excellent* category (the lowest percentage being 4.3% and the highest 26.7%) (last column, Table 5.3). This implies that only a few of the respondents indicated that their knowledge was on an exceptional level.

It thus appears that knowledge about the content of the documents relevant to the implementation of the PMS in the MSD was mostly *poor* to *moderate*. An open-ended question was asked (question 8), to motivate responses in the response category 1. *poor/none*. This question was asked with the view to solicit an explanation from the respondents regarding the responses provided in the question 7. Responses included amongst others: *"Haven't heard of them"*; *"I am not familiar with the documents"*; *"I have never come across such documents"*; *"No idea regarding those policies"*; *"I am new in the department and civil service in general, I still have to learn"*; *"Have not come across those policies"*; *"Have never had access to the documents"*; *"Have not been orientated on them"*; *"In general terms, I have only heard some of the contents of the lowly rated documents in workshops and have not read them"*; *"There have never been orientation on Employment/Performance policies"*; *"Not gotten the documents before"*; *"I have not come across those policies"*; *"I do not know those policies"*; and *"Will be pleased to have documents so that I can familiarise myself with them" [sic]*.

From these responses three deductions could be made, i.e.

- (i) respondents indicated that they were not aware of the existence of some of the documents;
- (ii) respondents felt that they were not introduced to the documents, whether through orientation, training or proper communication; and
- (iii) they sought to be informed regarding the content and application of these documents.

One could argue that contributing to this predicament is the fact that some of the respondents had joined the MSD from other ministries and organisations when it developed in 2012 out of the former Ministry of Health and Social Welfare, currently named as the Ministry of Health. It could be that these officials were not yet familiar with the document content due to the MSD developing its Ministerial Strategic Plan during 2014/15–2016/17. The absence of knowledge on the vital documents would have a direct impact on the successful implementation of the Ministerial Strategic plan as well as the PMS in the MSD.

Pulakos (2009) and Clardy (2013) both confirm that the MSD's failure to communicate policies with employees causes a barrier between managers and employees and thus tends to create poor relationships between them. This, in turn, has an adverse influence on the clients or the public it serves. Failure to communicate between managers and employees also affects the feedback process during the performance review. Pulakos (2009: 43-84) further emphasises that communication is vital, as explained in eight steps of the performance management process (Chapter 2 Section 2.4; Figure 2.3). Zigarmi et al. (2014: 17) posit that the performance management process consists of three activities, namely performance planning, where goals are set and standards established; day-to-day coaching, which is the interaction managers have with their direct reports, where leaders monitor performance and facilitate progress through coaching and feedback and finally; performance evaluation, which is the traditional annual performance review where employee performance is evaluated against annual goals. In all these three PM activities, communication is used. Figure 2.4 (10 steps to Implementing a Performance Management Programme – Adapted from Treasury Board of Canada Secretariat, 2014: 1) indicates that in step 4, organisational priorities and operational objectives are identified for PM discussions (implies communication) and the signing of performance agreements at the beginning of fiscal year, by ensuring that objectives can be cascaded from executive performance agreements to manager/supervisor agreements and ultimately to employee agreements in line with the PM cycle. It could be concluded that the use of PM had to be disseminated across all levels and be aligned to the organisation's mission, goals and objectives for attainment of desired levels of performance.


Of equal importance to clear communication is the training of employees (Clardy, 2013; Pulakos, 2009). Training will not only ensure that knowledge and insight are developed regarding performance management implementation, but also that the implementation of the documents are fast tracked. The literature (Van der Waldt, 2014: 147-148; Gotore, 2011: 69) further highlights that there is a need to provide education on the use of PM and systems involved for its implementation. It is purported that learning about PM helps in goal achievement at all levels of the organisation (strategic level, operational level and individual level). Sefali (2010: 201) also postulates that poor implementation of PMS persists because of lack of training incentives. Additionally, Vlant (2011: 26) supports this view that the implementation of PM should be supported with detailed training for line managers, the reason being that it equips them with skills on how to set objectives. A recent report of the Portfolio Committee on the Social Cluster on review of performance of the MSD (Government of Lesotho, National Assembly, 2014: 8) indicates that due to employees' incapacity and incompetence to implement the PMS effectively, subventions to institutions that care for Older Persons and Persons with Disability (PWD) have not been effected according to the ministerial work plan. Only 5 out of 23 local institutions caring for OVC have been provided with subventions (21.7%). The report further reveals that the ministry's inability to present progress reports (which are the requirements for attaining subventions) has prevented the ministry to spread subventions to all institutions (Government of Lesotho, National Assembly, 2014: 8).

5.3.2 Knowledge of Lesotho Public Service Acts and Regulations

Question 9 required respondents to rate their knowledge on Lesotho Public Service Acts and Regulations, which support and guide the implementation of the PMS across all government ministries, departments and agencies in Lesotho, the MSD included. These legislative frameworks, as discussed in Chapter 3, incorporate the PM policies within the national political-legal frameworks therefore, they are imperative in the implementation of the PMS in the MSD. The respondents were asked to respond to one of the following four categories, i.e. 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent*. The responses are depicted in Table 5.4.

Table 5.4: Responses to knowledge of Lesotho Public Service Acts and Regulations

Lesotho Public Service Acts	POOR/ NONE	MODERATE	VERY GOOD	EXCELLENT
Codes of Good Practice(no. 82 of 2008) (n=45)	6.7%	28.9%	57.8%	6.7%
Public Service Regulations (no. 38 of 2008) (n=46)	8.7%	34.8%	50.0%	6.5%
Public Service Act (no. 2 of 2005) (n=46)	8.7%	39.1%	41.3%	10.9%
Basic Conditions of Employment for Public Officers Act (no. 43 of 2011) (n=44)	11.4%	40.9%	38.6%	9.1%
PFMA Act (no. 51 of 2011) (n=46)	21.7%	39.1%	37.0%	2.2%

 Indicative of the highest percentage within the response category of that particular Act and Regulations

It is noted from Table 5.4 that the respondents had a moderate to very good knowledge of the respective acts and regulations. In the response category, *very good* (column 4, Table 5.4), the Codes of Good Practice(no. 82 of 2008); Public Service Regulations (no. 38 of 2008) and the Public Service Act (no. 2 of 2005) received the highest percentages. In the response category, *moderate* (column 3 Table 5.4) the Basic Conditions of Employment for Public Officers Act (no. 43 of 2011) (40.9%) and PFMA Act (no. 51 of 2011) (39.1%) received the highest percentages. There were few responses in the category for knowledge regarding the mentioned Acts and Regulations in the *excellent* category (lowest percentage being 2.2 and the highest 10.9). This implies that only a few of the respondents indicated that their knowledge was on an exceptional level with regard to the mentioned Acts and Regulations. What is cumbersome is the high percentages received in the *poor/none* (21.7%) as well as *moderate* (39.1%) categories for the PFMA Act (no. 51 of 2011) (n=46). This is one of the most important Acts that guide all government spending units on how to account for funds allocated to them by Parliament.

In general, however, it seems that knowledge about the Lesotho Public Service Acts and Regulations relevant to the implementation of the PMS in the MSD is mostly moderate to very good. An open-ended question was asked (question 10 in Annexure C), to motivate their responses if they selected the response category 1. *poor/none* in question 9. Responses included amongst others: *“Have not come across the situation where I have to apply the Act”*; *“I have not come across the PFMA Act”*; *“Have never had access to them”*; *“Poor orientation and follow-up mentoring. Only few knowledge from meeting Public Service*

Commission”; “Some have not come across but current I’m reading FMAA”; “I only know the existence of the first three Acts. I did not know about the existence of the last two until I read this questionnaire. Maybe one of the reasons why I am not familiar with these acts is that my stay in the Public Service has not been consistent. I have had many stops and starts, mainly because of schooling”; “To tell the truth, I have not read any of the Acts listed above. My focus has mainly been on the policies and strategies that govern our work/activities” [sic].

From these responses (question 10 in Annexure C) the following deductions could be drawn: (i) respondents showed that they did not know the existence of some of the Acts and Regulations and (ii) respondents attested that they had not received proper orientation and mentoring of some of the Acts and Regulations. It could further be argued that other contributory factors to results in question 10 were that these Acts and Regulations, with the exception of the Public Service Act (no. 2 of 2005), were enacted in 2008 and 2011. Most respondents were already in the Public Service at that time and since newly Public Officers would have been orientated on the Acts and Regulations during a session offered at the Public Service Commission before they appeared for interviews it seemed that these respondents were not orientated. This therefore appeared as if the implementation of the PMS in the MSD was adversely affected, as a result of the responses captured in question 10.

Chapter 3 confirmed that the following acts make provision for the establishment and implementation of the PMS in the MSD; Codes of Good Practice (no. 82 of 2008), Public Service Regulations (no. 38 of 2008), Basic Conditions of Employment Act (no. 43 of 2011), the Public Service Act (no. 2 of 2005) and PFMA Act (no. 51 of 2011). The Codes of Good Practice (no. 82 of 2008) prescribe grievance-handling procedures to be followed for any public officer who has lodged his/her discontent regarding decisions made against him/her or for settlement of disputes/complaints. The MSD applies grievance handling procedures whenever a public officer within the ministry is not satisfied with the ratings given by immediate supervisor during the performance appraisal process (implementation of the PMS) and in other cases of work discontentment. Chapter V of the Public Service Regulations (no. 38 of 2008) stipulates that the Minister shall establish a Performance Management System in the public service whose purpose is to enhance public officers’ performance and productivity. It further states that Heads of Departments and Agencies shall be accountable for the effective application of the PMS. The Regulations also indicate that performance contracts, operational plans, individual plans, performance appraisals and performance rewards should be in place and implemented in Ministries, Agencies and Departments the MSD included. Part V of the Basic Conditions of Employment Act (no. 43 of

2011) tables the Performance Management and Development System. Under this Act, all government ministries, departments and agencies, including the MSD, shall draw up annual work plans in line with sectional, divisional or ministerial plan and every public officer shall prepare service standards. The Act requires public officers on Grade I (currently Grade J after the review of salaries in April 2013) and above to enter into a performance contract/agreement with their immediate supervisor. Public officers on Grade H (currently Grade I as a result of the review of salaries in April 2013) or below are also required to enter into performance agreement with their immediate supervisors (Lesotho, Basic Conditions of Employment for Public Officers Act (no. 43 of 2011) 2011: 76). Section 10 (2) (g) of the Public Service Act (no. 2 of 2005) reads as thus: Without limiting the generality of Subsection (1), the Minister may make provisions for all or any of the following matters:(g) Policy determination with regard to code of conduct, performance management, discipline and other career incidents of the public officers, including any other matter which relates to the promotion of harmonious relationships between the employer, officers, officers' representatives and management within the public service (Lesotho, Public Service Act (no. 2 of 2005: 21).

With regard to reporting and auditing, part V Section 34 (1) of the PFMA Act (no. 51 of 2011) requires all government-spending units to prepare quarterly and annual reports (the MSD included) which are components of a PMS used for monitoring and evaluating performance.

5.3.3 Conceptualisation of PMS policies

Question 13 of the questionnaire (Annexure C) asked the respondents to rate their knowledge and understanding of the PMS policies, which are vital in the implementation of the PMS. These PMS policies guide public officers on how to conduct and implement PMS; therefore, knowledge and understanding of these PMS policies help in managing employee performance and attaining the desired levels of performance in the MSD. The respondents were asked to respond to one of the following four categories i.e. 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent*. The responses are depicted in Table 5.5. It is important to note that Table 5.3 links to the responses in Table 5.5; however, it was decided to group them separately, since they are known as the PMS policies. In both tables (5.3 and 5.5), the highest percentages occurred in the category *poor/none*.

Table 5.5: Responses to conceptualisation of PMS policies

PMS policies	POOR/ NONE	MODERATE	VERY GOOD	EXCELLENT
▣ Reward and Recognition Policy (2009) (n=46)	54.3%	30.4%	13.0%	2.2%
▣ Performance and Development Management Policy (2010) (n=46)	47.8%	34.8%	15.2%	2.2%
▣ PMS Policy (2005) (n=46)	45.7%	43.5%	8.7%	2.2%
▣ Performance Management and Development Policy (2009) (n=46)	45.7%	41.3%	6.5%	6.5%
▣ Draft PMS Policy (2013) (n=46)	43.5%	41.3%	15.2%	0.0%

▣ Indicative of the highest percentage within the response category of that particular concept

From Table 5.5 the highest percentage (all above 43%) appeared in the *poor/none* response category, indicating that their knowledge was below the required level (column 2, Table 5.5). Nearly the same responses occurred with regard to the response category *moderate* (indicating that their knowledge is at a required level) where the second-highest response percentages appeared (third column, Table 5.5). The highest percentages (54.3%) allocated to the Reward and Recognition Policy (2009). In all four response categories, this percentage was the highest. In the *excellent* category (indicating that their knowledge was on an *exceptional* level) response category, the lowest percentages were recorded with a 0% for the Draft PMS Policy (2013).

An open-ended question was asked in question 14 to assess the respondents' response if they selected the response category 1. *poor/none* (Below the required level) on question 13. Twenty-four respondents (52.17%) replied. Responses included: "I have not come across them"; "To read them and improve my knowledge about them"; "I do not know the policies"; "I only heard about them but really I have never seen them; "I am not even aware of the existence of the above policies. I am not being sarcastic. It is the honest truth"; "I have never seen these policies"; "Not introduced to the Draft PMS Policy 2013"; "I think they were developed and failed to be implemented"; "I do not have clue of this policies except for the little information I got from the induction course"; "Haven't heard of"; "I have n't come across such documents"; "I have no idea regarding those policies"; "New in the department still learning"; "Do not know the policies"; "These seem to be revised documents that have not been disseminated well hence no knowledge of them"; "I have not been trained"; "I have not come across the documents, to the best of my knowledge"; "Lack of training"; "I have not

seen the documents at all”; “Never heard of such documents”; “I have not seen those policies”; “Reward & Recognition Policy 2009 - I’m unfamiliar with” and “Never come across these policies” [sic].

From these responses captured in question 14, it could be concluded that respondents did not have access to the policy, whether through an absence of or poor training, induction or in some form of communication. These responses alerts fears that the implementation of the MSD’s priorities plans and ultimately PMS are affected negatively.

The highest percentages (54.3%) allocated to the Reward and Recognition Policy (2009) in the *poor/none* response category could be attributed to the fact that performance-related pay, is a component of the policy that had not yet been implemented by the Cabinet; thus the content of the policy was not known. This lack of knowledge on the Reward and Recognition Policy (2009), which is intended to increase officers’ morale, affects the implementation of the MSD’s PMS negatively. In the *excellent* response category (indicating that their knowledge is on an exceptional level), the lowest percentages were recorded, with a 0% for the Draft PMS Policy (2013). It therefore appears as if none of the respondents had excellent knowledge on the Draft PMS Policy (2013). This indicated a lack of capacity of the ministry to retain competent policy decision makers, which has a direct impact on the implementation of the PMS.

The results also reveal that the Performance and Development Management Policy (2010) attained the highest percentage at 47.8% below the required level. The findings of the study further indicate that PMS Policy (2005) and Performance Management and Development Policy (2009) received equal ratings in the category *poor/none* at 45.7%. This was followed by the Draft PMS Policy (2013) with 43.5%. The reasons for these highest percentages in these policies could be attributed to poor dissemination of policy initiatives within MSD. These highest percentages in the category *poor/none* implied that the implementation of the PMS is ineffective; therefore, there is a need to put more effort in sensitising MSD’s employees on PMS policies to contribute to efficiency and effectiveness in the delivery of public services. The findings of the study further portrayed that the MSD’s respondents seemed to have some knowledge and understanding of PMS policies at the required level with PMS Policy (2005) at 43.5%, Performance Management and Development Policy (2009) and Draft PMS Policy (2013) at 41.3%, respectively, Reward and Recognition Policy (2009) at 30.4% and Performance and Development Management Policy (2010) at 34.8%. These responses are considered better in the implementation of the PMS, but not good enough to sustain the PMS and attain the desired levels of performance in the MSD. It could

be concluded that the MSD's PMS is not implemented effectively, as none of these PMS policies attained above 50% in the *moderate*, *very good* and *excellent* response categories.

As the literature (Chapter 3, Section 3.3.9) revealed, PMS policies have been developed with a purpose to guide the implementation process of the PMS. Van der Waldt (2014: 136) highlights that South African municipalities are faced with challenges of service delivery and non-compliance of the PM system. The author reveals that South African municipalities struggle with the implementation of long-term strategic plans and as a result are criticised for their lack of performance. Butler (2009, cited in Van der Waldt, 2014: 137) ascertains that the problem with PMS implementation in the municipalities is that municipalities operate their IDP, budget and performance processes in silo. This results in poor integration of the PMS. Van der Waldt (2014: 144-146) further argues that attempts to improve on non-performance have failed, i.e. quarterly reports are filed and not scrutinised to ensure they serve as early indicators of non-performance and that the performance is in line with set targets. Barrett (2007: 7) also opines that in essence integrated performance management demands that performance management initiatives should be linked to a budget of "financial forecasts" and strategic plans. Integrated performance management involves exploitation of synergies between strategic planning, budgeting and performance reporting. It could be concluded that given the different purposes that the policies serve, lack of knowledge on PMS policies as indicated in Table 5.5 (column 2), has a negative impact on the PMS implementation. The MSD's M&E frameworks, which are aimed to redress poor performance, also seem to be affected adversely. The highest percentages would be better if they existed in the *very good* and *excellent* categories, which would imply effectiveness in the PMS implementation. It could also be concluded that MSD's integrated planning, which is aligned to the national development agenda do not occur according to standards; thus having a direct impact on the implementation of MSD's PMS. Hence, there is a need to address planning of MSD in future to improve service delivery and PMS implementation.

5.3.4 Knowledge of PMS concepts

Question 11 asked the respondents to rate their knowledge of PMS concepts relevant to the implementation of the PMS. These PMS concepts are used for budgeting, planning and measuring performance of individuals, sections, departments, agencies and ministries. The respondents were asked to respond to one of the following four categories, i.e. 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent*. The responses are depicted in Table 5.6.

Table 5.6: Responses to knowledge of PMS concepts

Concepts relevant to PMS	POOR/ NONE	MODERATE	VERY GOOD	EXCELLENT
▮ Goals (n=45)	2.2%	28.9%	51.1%	17.8%
▮ Strategic plan (n=46)	4.3%	39.1%	45.7%	10.9%
▮ Performance measurements (n=46)	10.9%	32.6%	45.7%	10.9%
▮ Performance plan (n=45)	8.9%	28.9%	44.4%	17.8%
▮ Performance indicators (n=46)	2.2%	30.4%	43.5%	23.9%
▮ Objectives (n=46)	6.5%	26.1%	41.3%	26.1%
▮ Performance standards (n=46)	6.5%	32.6%	41.3%	19.6%
▮ Performance monitoring (n=46)	10.9%	30.4%	37.0%	21.7%
▮ Performance budgeting (n=46)	8.7%	28.3%	39.1%	23.9%
▮ Performance evaluation (n=46)	8.7%	34.8%	32.6%	23.9%

▮ Indicative of the highest percentage within the response category of that particular concept

The respondents' highest percentages were in general indicative that their knowledge was at a consistent standard (*very good* column 4, Table 5.6) in all PMS concepts, with the exception of performance evaluation. The performance evaluation received the highest percentage at *moderate* level (34.8%). Lower percentages prevailed at *poor/none* and *excellent* categories in all PMS concepts. Question 12 in the questionnaire (Annexure C), allowed the respondents to motivate their response in category 1. *poor/none* (Below the required level). The percentages in this category ranged from the lowest percentage, goals and performance indicators (both at 2.2%) to the highest performance measurements (10.9% – Column 2 Table 5.6). Three respondents (6.52%) replied with answers such as “*I haven't got training of PMS*”; “*It is the first time I see the concept*” and “*I am not at all familiar with the tools used for Monitoring performance. The process of monitoring performance is also not clear to me*” [sic]. However, the responses showed a direct, negative impact in the PMS implementation.

The results in Table 5.6 reveal that the highest percentages in PMS concepts at a consistent standard and moderate level could be due to the senior level of respondents' positions (salary Grades F to J) in the MSD, which compelled them to participate in performance management activities such as strategic planning, M&E, performance planning and budgeting, performance measurements, setting of performance standards, objectives and goals (Table 5.6). These highest percentages in PMS concepts at *moderate* and *very good*

demonstrate good indicators in the PMS implementation, as they show that the respondents knew the PMS concepts and ought to have applied it in the execution of their duties and PMS implementation. The results also indicate a positive impact towards service delivery in the MSD. Lower percentages in the excellent and moderate categories call for a need to exert more effort by the MSD's management so that the ratings could increase above 50% at *very good* and *excellent* categories and drop to zero percent in the *none/poor* category to meet service delivery standards and improve PMS implementation. In Chapter 2, literature revealed that in the best PM practice, managers rated performance of employees through a series of steps, for instance, evaluation of job behaviours and results (links to performance evaluation Table 5.6); making ratings against defined rating standards to facilitate consistency, fairness and accuracy (links to performance standards Table 5.6); and providing narrative comments to further describe the rationale for ratings and promote more meaningful and conscientious feedback from managers (links to performance monitoring and evaluation Table 5.6) (Pulakos, 2009: 60-62).

Pulakos (2009: 60-62) furthermore contends that in the PM process, leaders in the organisation set organisational and departmental goals (link to goals Table 5.6); managers and employees set objectives holding ongoing performance discussions (links to objectives Table 5.6). The literature (Chapter 2) revealed that at all organisational levels, there was a need to provide education on the use of PM and systems involved for its implementation. Learning about PM helps in goal (links to Performance Management System Model). The use of PM has to be disseminated across all levels and be aligned to the organisation's mission, goals and objectives for attainment of desired levels of performance (links to goals and objectives Table 5.6). Bandura's (1971: 3) theory adds a social element, arguing that people can learn new information and behaviours by watching other people. Known as observational learning (or modelling), this type of learning can be used to explain a wide variety of behaviours especially in the PMS implementation. For Dusenbury (cited in Sefali, 2010: 36), strategic planning (links to strategic plan Table 5.6) is an adaptable set of concepts, procedures, tools and practices intended to help people and organisations figure out what they should be doing, how and why. The strategic planning process ensures that all role players in the organisation, amongst which accounting officers and the executive authority, have the same understanding of the objectives and outcomes to pursue.

Zigami et al. (2014: 17) contend that a performance management process comprises three activities, namely performance planning, where goals are set and standards established; day-to-day coaching, which is an interaction managers have with their direct reports, where leaders monitor performance and facilitate progress through coaching and feedback; and

performance evaluation, which is the traditional annual performance review where employee performance is evaluated against annual goals.

Bouckaert and Halligan (2008: 35) note that, “performance measurement systems (links to performance measurements Table 5.6) should contribute to the legitimacy of the public sector itself”. For reasons of political legitimacy, performance measures should become more subject to independent controls (audits), be more bottom-up (from front line) and more external (citizens, stakeholders) in their design and implementation. In implementing the PMS in an organisation, it is vital to adopt the best performance measures that will contribute to effectiveness and efficiency in the delivery of services. The commonly used performance management measures in most public services and public service organisations are the Balanced Score Card developed by Kaplan and Norton; the Total Quality Management; and traditional output measures such as activity-based costing and benchmarking. It is clear from the findings that MSD respondents do conform to these PMS practices, although more effort needs to be made in future at zero percent in the category response *poor/none* and above 50% in the *very good* and *excellent* categories.

5.3.5 Performance management training

Questions 15 and 16 of the questionnaire (Annexure C), wanted to address the training related to PMS and therefore asked the respondents to select PM training that they had acquired in order to improve performance. The reason for asking these two questions was to assess the respondents’ training on PMS policies to establish the relationship between knowledge of PMS policies and PMS implementation. The seven response options were: (i) Introduction to PMS, (ii) Lesotho Public Service Acts, (iii) Lesotho Public Service Regulations, (iv) PMS Policies, (v) PM for Project Management, (vi) PM Software and (vii) Automated PMS. Figure 5.1 depicts the responses to question 15 of the questionnaire.



Figure 5.1 PM Training Acquired

From Figure 5.1, it transpires that the respondents acquired the highest percentages on training in the Lesotho Public Service Acts (63%) and Lesotho Public Service Regulations (57%). The results show that 46% of the respondents attested to receiving an Introduction to PMS. Fewer percentages prevailed on the following: PMS Policies (33%), PM for Project Management (26%), PM Software (13%), and Automated PMS (9%). An open-ended question was asked to indicate any other PM/PMS training acquired in question 16. Nine respondents (19.56%) replied with answers such as *“Induction course”*; *“Didn’t receive any training”*; *“There has to be structured training and take reasonable time to make everyone understand”*; *“None”*; *“N/A”*; *“I have never attended any PM/PMS training”*, *“PM software”*; *“So far, I have not been trained on any of the above subjects/topics”* and *“Development of the Performance Contracts for PS” [sic]*.

According to Figure 5.1, the Lesotho Public Service Acts (63%) and Lesotho Public Service Regulations (57%) scored the highest percentages. These percentages could be attributed to the fact that all public officers ought to have been inducted on these Acts and Regulations prior to their interview by the Public Service Commission when they entered the Public Service (standard procedure applied to all public servants). As accounted in previous responses to question 14, it is evident that induction *per se* already contributed to enhanced knowledge of the respondents. This therefore indicates a direct positive impact on the PMS implementation. It shows that the respondents were aware of the PMS and they were expected to abide by the guidelines stipulated in the Acts and Regulations. Although most respondents scored below 50% in all the PM training cited (Figure 5.1), with the exception of the Lesotho Public Service Acts (63%) and Lesotho Public Service Regulations (57%) already mentioned, it was indeed promising in the PMS implementation. However, it is cumbersome that a larger percentage of respondents needed to be trained on PM, PMS policies, Acts and Regulations. The percentages in Figure 5.1 are negative indicators in the implementation of the PMS in the MSD as majority of PM training cited received below 50% indicating that the implementation of the PMS was affected adversely.

The results in Figure 5.1 are not satisfactory in any given organisation (MSD included) that intends to work towards attaining the best performance results. As indicated in the literature (Chapter 2), training is an essential element in the implementation of the PMS, because without it, officers would not have guiding principles, thus making the PMS futile. The results in Figure 5.1 imply that the MSD did not invest in training its human resource and this had an adverse influence on the PMS implementation. Different sources cited in this study (Chapter 2) concurred with the idea of training of staff in PM. Pulakos (2009: 102) emphasises that when the PM tools and processes were designed, several additional implementation steps

are necessary. These include automating the tools and processes such as developing the Human Resource Information System, pilot testing of the PMS, training staff on using the system, evaluating the system and improving the system based on the evaluation results. In the 10 Steps to Implementing a Performance Management Programme (Adapted from Treasury Board of Canada Secretariat, 2014: 1), step 3 requires managers and supervisors within departments or agencies who are responsible for evaluating employee performance to complete online training successfully; issuing emails from deputy head to all managers, supervisors and executives informing about the training and where and when to take it; and monitoring take-up of training and take corrective action as needed (see Figure 2.4). Clardy (2013: 12), concurs with the importance of training in PM and states, “PM fails due to lack of training incentives”. Sefali (2010: 201) contends that it is crucial to provide funds for training public officers on PMS to enhance their development. Vlant (2011: 26) suggests that, “the implementation of PM should be supported with detailed training for line managers; the reason being that it equips them with skills on how to set objectives”.

5.3.6 Ministry’s involvement in PMS

The respondents were asked to rate the involvement of the Ministry in PMS in question 17 (Annexure C) towards five performance areas. The performance areas mentioned were:

- (i) Utilisation of performance feedback systems (i.e. survey, suggestion box, radio/Television/Phone programmes, meetings, Pitsos and rallies);
- (ii) Performance information flow (i.e. from the political appointees to top management to senior management to middle management and to the rest of the employees);
- (iii) Efforts in setting performance and service standards;
- (iv) Commitment in producing performance evaluation reports; and
- (v) Performance management control systems in place (i.e. Balanced Scorecard, Activity-based Costing, Budgeting, capital budgeting and Benchmarking).

The responses to the four response categories 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent* are depicted in Figures 5.2 to 5.6. The rationale for asking this question was to determine whether the respondents knew about the MSD’s involvement in the five performance areas identified, which helped to define the effectiveness of the PMS.

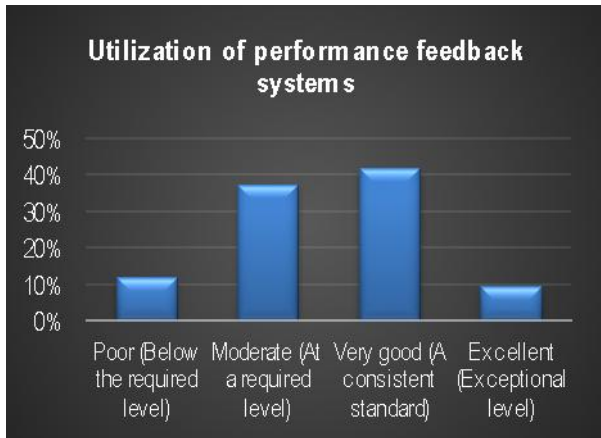


Figure 5.2 Utilisation of performance feedback systems (i.e. surveys, suggestion boxes, audio-visual programmes, meetings Pitsos and rallies)

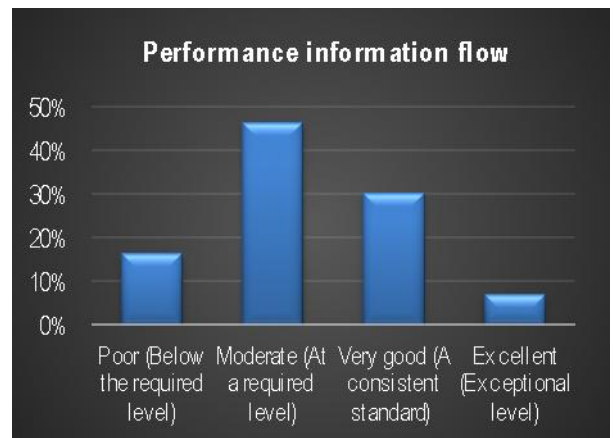


Figure 5.3: Performance information flow (i.e. from the political appointees to top management to senior management to middle management and to the rest of the employees)



Figure 5.4: Efforts in setting performance and service standards

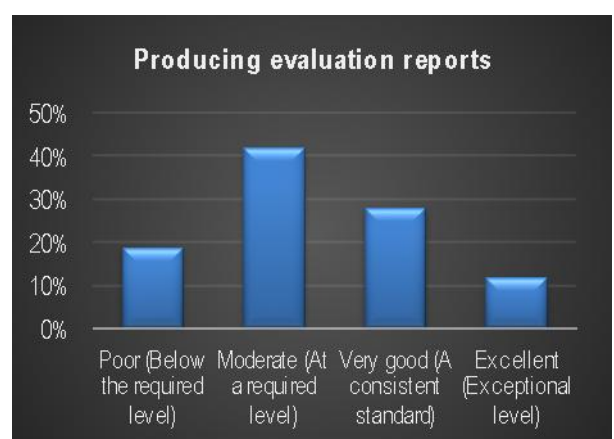


Figure 5.5: Commitment in producing performance evaluation reports



Figure 5.6: Performance management control systems in place (i.e. Balanced Scorecard, Activity-based Costing, Budgeting, Capital budgeting and Benchmarking)

The results in Figures 5.2 to 5.6 portray the results of the respondents of MSD on the involvement of the ministry in the following performance areas; utilisation of performance feedback system (Figure 5.2), performance information flow (Figure 5.3) setting performance and service standards (Figure 5.4), commitment in producing evaluation reports (Figure 5.5) and performance management control systems in place (Figure 5.6). In all the five performance areas identified, the results showed ratings below 50% in the *moderate*, *very good* and *excellent* categories. In addition, the results also showed very low percentages in the categories *poor/none* and *excellent*.

The results shown in Figure 5.2, Utilisation of performance feedback systems (i.e. surveys, suggestion boxes, audio-visual programmes, meetings, Pitsos and rallies), indicate the highest percentages received under the involvement of the ministry in the utilisation of the performance feedback system, with the majority rated 41.9% at a consistent standard and 37.2% at moderate level. It could be deduced that the ministry's involvement was good, because the majority of the MSD's respondents participated in those performance areas and were well informed; hence, the PMS implementation was positively affected. The low percentages (11.6%) at the *poor/none* category could be attributed to respondents' non-participation in the performance area mentioned in Figure 5.2 as a result of their positions in the MSD. According to Management Study Guide Experts (2013: 1), the PM process allows managers to set performance standards and through regular feedback and coaching of employees, PM provides an advantage of diagnosing the problems at an early stage and taking corrective actions. It can also be regarded as proactive system of managing employee performance for driving the individuals and the organisations towards desired performance and results. Zigarmi et al. (2014: 17) support this idea and add that PM process comprises day-to-day coaching, which is an interaction managers have with their direct reports, where leaders monitor performance and facilitate progress through coaching and feedback. Stringer (2007: 93-94) submits that integrated performance management refers to the amalgamation of performance elements such as; objectives, strategies, targets, rewards, information flows, budgets, transfer pricing, capital expenditure and performance evaluation. It could be concluded that the MSD's performance feedback system was on par with PMS, but it needs to be improved in future so that the ratings could be increased above 50% at consistent *standard* and *excellent* categories and zero percent at *poor* level in order to improve the PMS implementation and delivery of public services.

With regard to Figure 5.3: Performance information flow (i.e. from the political appointees to top management to senior management to middle management and to the rest of the employees), the majority of respondents were at *moderate* level (46.5%) and *very good*

(30.2%) indicating that the performance-information flow within the ministry was good. The results further revealed that setting performance and service standards attained the highest percentages at *moderate* (38.6%) and *very good* (29.5%). This could be due to the respondents' participation in the MSD's management meetings and other HODs/HOSs meetings and thus were fully informed about the information flow from the top to the bottom. The results also showed a very low percentage at the *poor/none* level (16.3%) and *excellent* (7.0%) categories, indicating that the respondents in the *poor/none* category were less informed about the information flow in the MSD due to ignorance or their positions. The low percentage at *excellent* level could be due to respondents' high positions in the MSD, which enabled them to get involved in the performance area and thus have knowledge on how the ministry's information flow was carried out. The results therefore indicate good PMS implementation.

Performance information flow could come in the form of performance reports such as evaluation reports or individual appraisal forms. The model of Integrated Performance Management, as advocated by Bouckaert and Halligan (2008: 33), contends that 'performance information is systematically and coherently generated, integrated and used', and 'Information produced by performance measurement systems becomes part of a process of management and ultimately of governance'. The 10 Steps to Implementing a Performance Management Programme (Adapted from the Treasury Board of Canada Secretariat, 2014: 1), (Chapter 2, Section 2.4) confirms that steps 6 and 7 to implementing a PM programme involve completing performance agreements and managers and supervisors communicate the launch of the PM process. In this process, information regarding employees' roles in PM discussions and in completing PAs is captured and workshops for managers and supervisors are held. Stringer (2007: 93-94) submits that integrated performance management refers to an amalgamation of performance elements such as objectives, strategies, targets, rewards, information flows, budgets, transfer pricing, capital expenditure and performance evaluation. It could be concluded that performance information flow in the MSD seemed to be good, although more effort has to be made to increase the ratings above 50% at *very good* and *excellent* ratings in future and zero percent in the *poor* category.

With regard to Figure 5.4 (Efforts in setting performance and service standards), the results revealed that the highest percentages were *moderate* (38.6%) and *very good* (29.5%), indicating that the MSD's involvement in setting performance and service standards was satisfactory. The results could be because most respondents participated in the PMS implementation process from 2000 to 2014 and were knowledgeable about this performance

area. Lower percentages in the *poor* (20.5%) and *excellent* (11.4%) categories might be because respondents partly participated in the PMS implementation and/or were not part of the management team. Literature supporting these results reveals that for a PM to be effective, it requires a business plan or strategy, which defines how organisational resources will be used to provide goods and services, a management control system, which is regarded as a form of performance measures against targeted goals and outcomes. Furthermore, management practices identified by Clardy (2013: 12) comprise identifying and communicating performance expectations, training and coaching to improve capabilities and monitoring performance for organisational control, reporting systems and how employees do their work, through tracking performance by direct observation and regular reports. Pulakos (2009: 62) argues that the best practice in PM is to consider both job behaviour and results using defined performance standards as a basis for making ratings. Vlant (2011: 26) contends that in most organisations, mistakes in PM include objective setting, where in most cases managers have little or no appreciation of the process and often struggle with setting objectives. Van der Waldt (2014: 147-148) concurs that all officials should set performance standards and performance agreements with their supervisors. According to the HRM Standard Operations Guide (2012: 43-46), one of the Institutional PM initiatives introduced in the LPS comprise performance standards setting. These performance standards are outlined using feedback systems, customer service charters and posters to show the services that the MSD offers to the public with the view to review performance and improve service delivery.

With regard to Figure 5.5 (Commitment in producing performance evaluation reports), the highest percentages prevailed at *moderate* (41.9%) and *very good* (27.9%) categories, indicating that the ministry's performance was satisfactory. The results could be due to the fact that the respondents knew about the performance evaluation reports, either because they produced them (work in the Planning and M&E Units) or had access to the reports or because of the positions they held (salary Grades F to J) (see Section 5.2 and Table 5.1). The lowest percentages (18.6%) at *poor* level could be because the respondents did not receive performance evaluation reports and were therefore not known to them. Their positions as not being part of the management team or poor communication might further render them to rate the ministry's involvement at *poor/none*. The literature confirms that it is important in an organisation to evaluate job behaviour and results (Pulakos, 2009: 60). Van der Waldt (2014: 144-146) postulates that the absence of performance reporting makes it difficult for municipalities to detect early indicators of underperformance. The author further advises that the administration within the municipalities should develop an effective reporting mechanism for PMS among officials and structures. Roos (2009: 119) argues that there is a

need to conduct a research on the development of measures of success in future to evaluate performance monitoring systems and integrating performance auditing and performance reporting with risk management.

With regard to Figure 5.6 (Performance management control systems in place, i.e. balanced scorecard, activity-based costing, budgeting, capital budgeting and benchmarking), it could be deduced that the highest percentages in the *moderate* (41.9%) and *very good* (27.9%) categories were caused by the respondents' participation in the performance management control systems in place such as activity-based costing, budgeting and capital budgeting. These could be officers in the Planning and M&E Units, Finance, Administration and management team. Fewer percentages at *poor/none* (19.0%) could be caused by officers' lack of knowledge regarding the MSD's performance-management control systems, in place due to their positions in the MSD. Moreover, lower percentages (9.5%) in the *excellent* category could be due to the respondents' knowledge, experience in the MSD's performance management control systems in place. It could be senior officers, managers and directors in the MSD. The results in Figure 5.6 prove that there is a direct influence on the PMS implementation in the MSD.

The literature in Chapter 2 confirms that the era of PMS was characterised by development processes (management control tools), planning and improvement (Armstrong, 2009: 5). According to Willie (2014: 111-121), PMS consists of systems of performance measurements (such as BSC, activity-based costing, benchmarking, etc.) and monitoring the achievements of goals through key performance indicators. Bouckaert and Halligan (2008: 28) agree that their model known as a "comprehensive and integrated performance management framework" relies on externally developed performance frameworks such as BSC, ISO 9000 standards, European Framework for Quality Management or Country-Specific home-grown models such as the Canadian Management Accountability Framework. An open-ended question was asked in question 18 to motivate responses rated 1. *poor/none* in question 17 and 10 respondents (21.74%) replied with answers such as: "*I had seen our ministry setting targets but not service standards and the evaluation reports – I have never seen them*"; "*Communication from top to bottom in the ministry is poor*"; "*I can't confirm that the flow of information pertaining to the indicated key word does happen in my ministry. Other none-related information to performance can be confirmed by myself*"; "*No Political will/interest to liaise with staff and enhance their performance @ work*"; "*Information flow is not good the ministry does not conform to service standards*"; "*I'm new in this Ministry*"; "*Employees do not get feedback even after submitting the annual performance appraisal as a requirement by the Public Service Commission*"; "*N/A*"; "*My response does not mean that I*

think my ministry is not doing anything as far as addressing the listed in Row 5. It simply means that I am not aware of the ministry engaging in the activities question” and “Performance Management not given priority, all systems in place though no none cares what one is doing, no supervision, etc.” [sic].

From these responses, it could be deduced that:

- (i) the respondents showed that there was lack of communication and information flow, especially from management to subordinates;
- (ii) there was lack of feedback from supervisors and from the political appointees to top management to the rest of the employees;
- (iii) respondents were often not aware of the ministry’s activities with regard to PMS implementation; and
- (iv) there was a need for the MSD’s management to set performance service standards (Figure 5.4).

All these reasons had an influence on the successful implementation of the ministry’s plans, policy priorities and PMS.


5.3.7 Management involvement

In question 19, respondents were asked to rate the involvement of the managers in eleven PMS components. The results are charted in Table 5.7 and should be seen as contributing to the results discussed in Figures 5.2 to 5.6. The respondents were asked to rate the involvement of managers in PMS in the four response categories i.e. 1. *poor/none*; 2. *moderate*; 3. *very good*; or 4. *excellent*. The reason for asking this question was to find out from the respondents how much they knew regarding the PMS activities in the ministry. These PMS activities are important as they help in defining the PMS and thus provide a better understanding of the implementation of the PMS in the ministry.

Table 5.7: Responses to management involvement in PMS

PMS COMPONENTS	POOR/NONE	MODERATE	VERY GOOD	EXCELLENT
In developing sectional/departmental operational plans (n=46)	0.0%	22.2%	44.4%	33.3%
In performance planning and development (n=45)	0.0%	26.7%	44.4%	28.9%
In budget framework paper preparation (n=41)	0.0%	14.6%	36.6%	48.8%
In performance budgeting (n=39)	0.0%	23.1%	28.2%	48.7%

In preparing progress reports (n=45)	0.0%	33.3%	31.1%	35.6%
In compliance to the development of performance agreements at the beginning of financial year (1st April) (n=45)	2.2%	44.4%	31.1%	22.2%
In adherence towards attendance of performance review meetings for purposes of monitoring and management of employee performance (n=45)	6.7%	44.4%	40.0%	8.9%
In providing feedback on employee performance during performance review (n=45)	17.8%	40.0%	31.1%	11.1%
In redressing poor/non-performance in your department (n=45)	20.0%	46.7%	28.9%	4.4%
In accountability on the PMS (n=43)	16.3%	48.8%	20.9%	14.0%
His or her skills in the implementation of the PMS (n=43)	11.6%	44.2%	32.6%	11.6%

 Indicative of the highest percentage within the response category of that particular concept

The results indicate zero percent in the response category *1. poor/none* in the following five PMS activities; in developing sectional/departmental operational plans, in performance planning and development; in budget framework paper preparation; in performance budgeting; and in preparing progress reports. Managers in these five PMS activities were *moderately* to *excellently* involved in PMS implementation. The results further illustrate the highest percentages (31.1% to 48.8%) in the response categories *very good* and *excellent* in all PMS components stated in Table 5.7, with the exception of BFP, in redressing poor/non-performance in a department and in accountability on the PMS. This indicates that management involvement in these PMS components fell in the *very good* and *excellent* categories. The results also confirm the highest percentages (33.3% to 48.8%) in the response category *moderate* in all PMS components except for the first four, indicating that the respondents rated management involvement in general in those selected PMS components at *moderate*. The results also show zero percentages in the response category in the first five PMS components (Table 5.7), indicating that the MSD's respondents rated management involvement in the first five PMS components at *poor*, indicating that none was rated below the required level. These highest percentages signify that at least respondents appeared to be satisfied with managers' involvement in the selected PMS components

(Table 5.7), which is good in the PMS implementation, but not good enough, as the results reveal that none of these PMS activities received the highest percentages in the response category *excellent* and zero percent in the response category *1. poor/none* from the sixth to eleventh PMS components (Table 5.7).

The results in Table 5.7 indicate that no respondents (0.0%) rated managers' involvement under category *1. poor/none* in the first five PMS components. This could be due to the respondents' involvement in those PMS components. Their level of positions in the MSD allowed them to take part in those PMS components and thus they were knowledgeable. Higher percentages as per Table 5.7 in the *moderate*, *very good* and *excellent* categories could also be attributed to respondents' positions in the MSD, which allowed them to take part in those PMS components marked.

According to the Public Service Act (no. 2 of 2005) and Public Service Regulations (no. 38 of 2008) (Chapter 3), during the PMS implementation, at departmental/sectional levels, HODs/HOSs draw operational plans and annual work plans aligned to objectives, approved budget and core functions of departments/sections. The Basic Conditions of Employment for Public Officers Act (no. 43 of 2011: 76) (Chapter 3) confirms that a public officer shall prepare annual work plans in line with sectional, divisional and ministerial and service standards. A public officer on salary Grade I and above (currently salary Grade J as a result of the salary review in April 2013) shall enter into annual performance contracts with his/her immediate supervisor. The Act further stipulates that a public officer on Grade H or below (currently Grade I as a result of the review of salaries in April 2013) shall enter into a performance agreement with his/her immediate supervisor. Pulakos (2009: 48) confirms that in step 3 of PM, organisation priorities and operational objectives are identified for PM discussions and signing of performance agreements at the beginning of the fiscal year, by ensuring that objectives can be cascaded from executive performance agreements to manager/supervisor agreements and ultimately to employee agreements in line with the PM cycle. The PFMA Act (no. 51 of 2011: 280) requires a minister responsible for a spending unit to present an annual report to Parliament within four months of the end of the financial year to which it relates and this forms part of accountability reporting. Finally, the Minister may require a spending unit to furnish other financial reports from time to time for the effective management of public money.

An open-ended question was asked in question 20 to motivate responses rated *1. poor/none* in question 19 and eight respondents (17.39%) replied with answers such as: "*Managers need to trained more on PMS*"; "*No extensive and rigorous trainings on staff members*"; "*I'm*

new in this ministry”; “There are no sound performance measurement system in the Ministry”; “The reason why I selected 1 three times is that ever since I joined the Ministry of Social Development in 2013 there have not been any performance review sessions between section heads and their staff”; “Even though plans are made and reports written; we do not know their linkages with PMS and no Feedback”; “N/A”; “I don’t recall there being any performance review. I have no idea what manager’s skills levels are in the implementation of the MSD’s PMS. I only have experience in the development of the MSD’s Performance Agreement Framework” [sic].

From the responses provided, it could be concluded that (i) training was required and (ii) officers had difficulty in establishing the link between plans and reports with PMS. The results as stated by respondents would have an impact on the successful implementation of the MSD’s plans, priorities and ultimately PMS. It was established by the literature that training was an essential aspect in the implementation of the PMS. The results imply that the MSD should invest in training managers for effective implementation of the PMS. The results also demonstrate that performance plans and reports in PM should be explained to the MSD’s officers so that they know their relationship with the PM. The literature (Chapter 3) showed that the implementation of PM entailed process steps and amongst them were performance planning and performance reporting (Government of Lesotho, HRM Standard Operations Guide, 2012: 43-46). The literature showed that it was important in PMS implementation to plan activities linked to individual, departmental and ministerial objectives. During the execution of these activities progress reports are made on completed tasks and M&E frameworks are put in place to monitor and assess performance so that improvements could be made where poor/non-performance was indicated. It could be concluded that even though the MSD’s managers appeared to get satisfactory ratings in their involvement in the majority of PMS components and zero ratings under the *poor/none* category in the first five PMS components, improvements were needed in future to sustain and increase the highest percentages prevalent in the categories *very good* and *excellent* and zero percent in *poor/none* in all PMS components.

5.4 SECTION C: IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT

Two open-ended questions were posed in Section C of the questionnaire (Annexure C). This section addressed the two objectives of the study, i.e. (i) to propose strategies to be employed by managers within the ministry’s departments for improving the implementation of the performance management system and (ii) to identify challenges that impede the implementation of the MSD in Lesotho.

5.4.1 Promoting effective service delivery

Question 21 asked the respondents to suggest ideas to promote effective service delivery in the MSD in Lesotho through the implementation of the PMS. Sixty-seven responses were captured. Although several ideas were suggested to promote effective service delivery in the MSD in Lesotho through the implementation of the PMS, it was interesting to note the high responses with regard to training. Another variable that was recorded was that of communication, especially from management to staff. This section will therefore report on the results to question 21 of the questionnaire (Annexure C), in three categories, i.e. responses relevant to training, those linked to communication and finally those linked to management.

5.4.1.1 Training

The following responses relevant to training were captured. “Conducting change management meetings/workshop”; “recruitment of Instructors with the ability to teach the deaf and visually impaired persons i.e. Sign Language and Braille at Ithuseng Vocational and Rehabilitation Centre” and “workshops on PMS, Public Service Acts and Regulations and ministerial and government policies”. Four respondents mentioned a need for orientation of PMS and M&E to all MSD’s staff. Fifteen respondents mentioned a need to be trained on PMS, M&E, relevant government documents and in other fields (managerial skills, counselling, vocational work for instructors). It was obvious that the MSD’s capacity was obviously weakened due to the absence of training on relevant PMS and PM courses.

Several authors confirmed how vital training was *per se*, but also how important the orientation of officers was in an application (Vlant, 2011: 26; Pulakos, 2009: 102). Officers who had not received orientation on PM were short of skills needed in the PMS implementation and M&E. Training was identified as an important activity in selling PMS initiatives and creating capacity and willingness to change particularly at the implementation stage (Gotore, 2011: 69. Training sessions on PMS should be categorised into groups tailored to suit each group and should include training on performance contracting, measurement, self-tracking, appraisals and organisation’s IT capabilities on PMS (Gotore, 2011: 76). The Treasury Board of Canada Secretariat (2014: 1) contends that, “managers and supervisors responsible for evaluating employee performance successfully complete online training” in an endeavour to support the PMS implementation. Although the Basic Conditions of Employment for Public Officers Act (no. 43 of 2011) (2011: 77) makes provision for promotions, special annual awards, and nomination for participation in career development exchange programmes or secondment within or outside the public service and nominations to attend special conferences or seminars or training courses, or any incentive

as the Minister may determine, it seems that MSD's respondents need to be trained on PM so as to promote effective and efficient service delivery. Vlant (2011: 26) observes that the implementation of PM should be supported with detailed training for line managers and it should include how to set objectives and appropriate examples should be provided for each functional unit. In addition, managers that are more senior may need one-on-one coaching on how to set meaningful objectives for their teams.

Two respondents further suggested that effective service delivery in the MSD could be promoted through holding of departmental performance evaluation meetings (one-on-one preferable) at the end of the financial year. The literature confirmed that evaluation of employee performance determined whether goals and objectives were met, which was a crucial element of service delivery. After evaluation of employee performance, discrepancies were identified and rectified through the amendment of objectives or activities (Mabey et al., cited in Aguinis, 2009). On the other hand, Zigarmi et al. (2014: 17) indicates that performance evaluation is the traditional annual performance review where employee performance is evaluated against yearly goals. Pulakos (2009: 43) supports this view and argues that during performance discussions, employees' objectives can be altered or revised because of unforeseen circumstances outside the employees' control, which can interfere with attaining objectives. The results linked to training implied that the MSD's capacity to provide appropriate training on the Acts, Regulations, government documents and policies that contributed to promotion of effective service delivery and implementation of PMS could be strengthened if training in PMS were introduced at all levels. This could also have a positive impact on the provision of delivering public services.

5.4.1.2 Communication

Responses relevant to communication in PMS implementation included: *“organogram of the ministry should be clear”, “set roles and responsibilities of officers”, “departments to agree on activities, set key performance indicators for each programme and set performance standards for staff and work toward their attainment” , “develop and publicise a clear communication strategy so that information is timeously disseminated across departments and districts” and “avail material resources on time i.e. transport, offices, communication facilities, ICT equipment, internet and assistive devices” [sic].*

Five respondents suggested that service delivery could be improved by setting and implementing a clear monitoring and evaluation plan and strategy. The MSD appeared to lack M&E plan and strategy; therefore making the measuring of performance difficult. Six respondents suggested that the MSD should provide enough material resources such as

transport, office accommodation, communication facilities, ICT equipment, internet and assistive devices in its efforts to promote effective service delivery. The latter was of the utmost importance for material resources in the PMS implementation, particularly at a strategic/organisational PM level. Barrett (2007: 7) opines that in essence integrated performance management demands that performance management initiatives should be linked to a budget of “financial forecasts” and strategic plans. Integrated performance management involves the exploitation of synergies between strategic planning, budgeting and performance reporting. For Moodley (2003: 28), integrated performance management should be practised in such a way that it “aligns the processes of performance management to the strategic planning processes of the organisation” in a manner that ensures that plans that are derived from the corporate strategy are in harmony with the work plans or “performance plans”. Stringer (2007, 93-94) submits that integrated performance management refers to amalgamation of performance elements, such as objectives, strategies, targets, rewards, information flows, budgets, transfer pricing, capital expenditure and performance evaluation. Stringer (2007: 94) adds that integrated performance management strives to bring together all the performance elements in order to have a unified operation for the best result. Therefore, integrated performance management is a combination of performance elements into one unified system (Stringer, 2007: 94).

Communication in PMS implementation is crucial, because performance planning, review and M&E require a good mode of communication in an organisation. The dissemination of policy initiatives requires a well-planned communication strategy so that all officials know the contents of the policy; policy objectives, recipients/beneficiaries of policy and how the M&E frameworks will be carried out in order to gauge the success and failures of policy initiatives. It could be concluded that the implementation of PMS in the MSD could be improved by developing communication strategy tools, which could help to disseminate information for effective PMS implementation and delivery of public services.

The literature confirms that communication is a vital tool in the PM implementation, Gotore (2011: 77-78) attests that continuous selling of the PMS to employees is important until the process is embedded through regular communication. Sefali (2010: 202) contends that in order for effective implementation of the PMS in the LPS to reign, there has to be a review of GoL communication strategy. For Pulakos (2009: 102), one of the best practices to implement an effective PMS is developing an effective communication strategy. Brudan (2010: 6) observes that integration between all the three PM levels of an organisation is crucial, as this is where the organisational information passes; thus, communication is enhanced and PMS becomes effective. Armstrong (2009: 3) supports the idea of

communication in PMS implementation and argues that employees often receive written communication on their identified areas of improvements if the rating for any specific trait is below 33%.

Three MSD respondents suggested that departments within MSD had to agree on activities, key performance indicators for each programme and set performance standards for staff and work toward their attainment. Pulakos (2009: 43) highlights the importance of managers and employees to identify performance goals collaboratively and agree on results to be achieved. Pulakos (2009: 62) further posits that the best practice in PM is to consider both job behaviour and results using defined performance standards as a basis for making ratings. Performance standards help employees to understand what is expected of them and provide common standards for managers to use in evaluating employees thereby increasing consistency, transparency and fairness. The author further contends that performance standards are crucial, as they guide ratings, which are essential element for an effective PMS, thus improving the delivery of public services. The observation made regarding the results was that MSD performance planning needed to be closely monitored to promote effective delivery of public services in future.

5.4.1.3 Management involvement

The following responses relevant to management involvement in PMS implementation were recorded: *“making the environment conducive in order for services to be delivered effectively”, “monitoring employee performance regularly”, “managers must compare individual work plans against performance”, “provision of adequate budget to execute ministerial activities”, “developing annual plans aligned to national development priorities”, “commitment in the development and use of the PMS” and “regular review of employees’ performance, providing feedback and coaching” (n=4) [sic].*

Management forms an integral part in the PMS implementation as it encompasses tools crucial for executing an organisation mandate. The ratings indicated in this section were good indicators and showed that management aspects had an impact on the successful implementation of PMS. The regular monitoring of employee performance could not be emphasised enough. Although Likierman (1998); Johnsen (2005) and Modell (2005, cited in Nath and Sharma, 2014: 3) state that performance in the public sector is difficult to measure and performance indicators are difficult to construct, Pulakos (2009) and Armstrong (2000) observe that PM is best explained by using numerous models. Most of these focus on a predictable set of variables involving some variations on establishing performance goals for employees, assessing performance and providing feedback. There are usually a sequence

of stages or activities such as performance agreement/goal setting, performance monitoring/facilitation, performance appraisal and feedback and improved performance.

The approach or outlook of managers was clearly a visible aspect mentioned. Responses suggested “*changing the mind sets and attitudes of managers and officers to view PMS positively*”, “*changing the mind sets and attitudes of managers and officers to view PMS positively*” [sic]. Two respondents suggested “*commitment in the development and use of the PMS*”. It appeared that managers were not committed to the implementation and use of the PMS; hence, service delivery was adversely affected. The literature contends that there is often a lack of political will to make PMS a success and a lack of commitment and political buy-in in to the PMS (Van der Waldt, 2014: 144–146). The “regular review of employees’ performance, providing feedback and coaching”, could also be linked to the approach of managers. Reviewing employee performance is crucial in the implementation of the PMS, as it helps to identify whether an employee has achieved objectives in pursue of high levels of performance (Mabey et al., cited in Aguinis, 2009). In situations where an employee does not seem to perform well, coaching is provided so that an employee could execute tasks effectively. Employees’ performance is monitored and assessed through appraisal system and feedback on progress made is provided. Mabey et al. (cited in Aguinis, 2009) explain that assessment of employee performance helps to determine rewards of employees such as promotion and salary increase. According to Management Study Guide Experts (2013: 1), regular feedback and coaching employees in PM provide an advantage of diagnosing the problems at an early stage and taking corrective actions.

Two respondents suggested: “*developing annual plans aligned to national development priorities*”. This implies that a PMS, as a tool intended to promote delivery of services seems ineffective. The results seemed to oppose the findings of the literature (Chapter 3) that ministerial goals and objectives were linked to the national goals and priorities as per the stipulations of the legislative frameworks (Public Service Regulations (no. 38 of 2008), Public Service Act (no. 2 of 2005) and Basic Conditions of Employment for Public Officers Act (no. 43 of 2011)).

5.4.2 Challenges in the implementation of PMS in the MSD

An open-ended question was asked to respondents in question 22 to identify challenges that impeded the implementation of the PMS in the MSD in order to achieve both ministerial and national goals and objectives and ultimately promote effective service delivery. Sixty-two responses were captured. Although several challenges were identified, it was interesting to note the high responses with regard to the management involvement when it came to the

implementation of PMS. Again, the variables of training and communication were mentioned; this time as challenges. This section therefore report on the results to question 22 of the questionnaire (Annexure C), in three categories i.e. responses relevant to training, those linked to communication and finally those linked to management.

Responses relevant to training include: *“Lack of orientation on PMS”, “Lack of skills in implementing the PMS”, “Difficulty of linking vocational training and field work once trainees have completed training”, “Lack of training” and “Inadequate budget to conduct training” [sic].* Lack of training on PM in the MSD is a poor indicator in all efforts aimed at improving the delivery of public services. As mentioned previously, several authors cited in this study confirm the importance of training on PM. Vlant (2011: 26) observes that the implementation of PM should be supported with detailed training for line managers and it should include how to set objectives and appropriate examples be provided for each functional unit. In addition, managers that are more senior may need one-on-one coaching on how to set meaningful objectives for their teams. It could be concluded that MSD is challenged by lack of sufficient PM training.

The respondent also mentioned communication as a challenge. It was noted in the literature as well as in practice that communication was vital in the PMS implementation, particularly during performance reviews, planning, feedback and M&E of performance. The results showed that MSD was challenged by poor communication and this alerted fear that progress reports of various programmes within the ministry were not properly disseminated and officers were in darkness as to what other departments were doing. Gotore (2011: 70) indicates that communication methods used in the XYZ Corporation (Pty) Limited in Namibia are top-to-bottom with little opportunity for bottom-up communication. The perception existed of management not listening to employee concerns and not responding in a manner that showed genuine concern. Brudan (2010: 6) contends that integration between all the three PM levels of an organisation is crucial, as this is where the organisational information passes; thus, communication is enhanced and PMS becomes effective. Armstrong (2009: 3) supports the idea of communication in PMS implementation and argues that employees often receive written communication on their identified areas of improvements if the rating for any specific trait used to be below 33%. Roos (2009: 119) encourages the adoption of the use of appropriate technology to ensure high quality and accessible information in the Public Sector of South Africa.

Responses linked to management include: *“Inability of managers to conduct change management meetings”, “Inability of managers to appreciate or understand the work done*

by Instructors”, “Ambiguous directives from senior management”, “Ministry’s structure which is not approved by the Ministry of Public Service created work load as more positions are not filled”, “Attitudes of officers on PMS”, “Managers’ inability to put the system in to place”, “Ministerial data are scattered and thus hinder progress to go in line with national goals hence lead to ineffective service delivery”, “Changing PMS models frequently”, “Lack of commitment in the PMS”, “Lack of accountability in the PMS”, “Change of government”, “Management styles imposed on officers”, “Political interference regarding the services provided by the MSD. Parliamentarians abscond from set procedures in MSD they want ‘their people’ who need assistance to be assisted without being assessed by Social Workers”, “No clear chain of command from top management to middle management” [sic].

Other responses include: *“Lack of clear and detailed work plans” and “Poor reporting”, “Lack of cohesion from top management to bottom staff”, “PMS is taken in to consideration when individuals want to meet short term goals (appraisal for promotion)”, “Failure by some officers to adhere to procurement requirements and functions” and “Shortage of staff (with specialised skills) at Ithuseng Vocational and Rehabilitation Centre (Instructors), at Community level (Auxiliary Social Workers) and Monitoring & Evaluation Unit” [sic].* The majority of responses indicated management challenges as impeding effective implementation of the PMS in the MSD. This could be due to a lack of skills in the PMS implementation or that the political environment was not conducive to implementing the system. This therefore had a direct influence on all efforts aimed at improving the delivery of public services. It could be concluded that MSD needed to address this challenge of management in future so that the implementation of the PMS could improve, ultimately improving the delivery of public services.

5.5 CONCLUSION

This chapter reported the responses of respondents from the Ministry of Social Development in different departments from salary Grade F–J in stipulated, set age categories. The questions related to all the objectives of the study, namely:

- to provide an overview of the theoretical framework of PM (Chapter 2);
- to document the existing legislative framework, policies and strategies supporting the implementation of the PMS in the MSD (Chapter 3);
- to identify challenges that impede on the implementation of the PMS in the MSD since 2000 to 2014 by means of empirical research (Chapter 4 and 5); and finally

- to make recommendations to be employed by managers within the ministry's departments for improving the implementation of the performance management system (Chapter 5 and 6, respectively).

CHAPTER 6: CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter charts the conclusions drawn from the empirical findings of the study (Section 6.2). It also provides the recommendations that were proposed by the study for improving the implementation of the PMS in the MSD (Section 6.3). The recommendations are also geared towards proposing strategies that managers could adopt in the implementation of the PMS in an endeavour to improve the delivery of public services. The four objectives of the study were addressed. Finally, this chapter ends with a conclusion (Section 6.4).

6.2 CONCLUSIONS

Chapter 2 of the study addressed Objective 1: To provide an overview of the theoretical framework of performance management. This chapter dealt with the theoretical framework of PM. It showed the evolution of the PM and PMS from the Industrial Revolution in the 18th and 19th centuries. It explained Frederick Taylor's Scientific Management. It also explained phases of PM. The first phase (1960s) involved the practice of the Annual Confidential Reports. The second phase was characterised by development of performance reports in the late 1960s and early 1970s. Development of the performance appraisals occurred in the third phase in the mid-1970s and the final phase (1980s and 1990s) was characterised by performance development, planning, improvement, culture building, team appraisals and quality circles. Chapter 2 also discussed models and theories supporting the implementation of the PM. Models identified were the Performance Cycle and the Integrated Performance Management Model. Theories mentioned were organisation theory, contingency theory, systems theory, goal-setting theory, agency theory and social learning theory. Levels of the organisation were also discussed, such as Strategic PM level, Operational PM level and Individual PM level. The chapter also dealt with new approaches to PM such as Career Management, a focus on everyday PM practices, strengthening PM-related capabilities of managers and employees and simplifying PM process and forms. Furthermore, the PM process and PMS implementation were explained. Chapter 2 concluded with presentation of a review of the literature on current research on PM and PMS focusing on completed theses and publications.

Chapter 3 of the study dealt with Objective 2: To document the existing legislative framework, policies and strategies supporting the implementation of the performance management system in the MSD. The legislative framework identified as relevant in the implementation of the PMS in the LPS, including the MSD are the Basic Conditions of Employment for Public Officers Act (no. 43 of 2011), Public Financial Management and

Accountability Act (no. 51 of 2011), Public Service Regulations (no. 38 of 2008), Public Service Act (no. 2 of 2005) and Codes of Good Practice 2008 (no. 82 of 2008). Relevant policies and strategies were identified in the implementation of the PMS in the MSD. These are the National Vision 2020, Poverty Reduction Strategy currently named National Strategic Development Plan 2012/13–2016/17 (NSDP), Millennium Development Goals (MDGs), Ministry of Health and Social Welfare Human Resources Development and Strategic Plan 2005–2025 and Ministerial Strategic Plan (MSP) 2014/15–2016/17, National Strategic Plan on Vulnerable Children April 2012–March 2017, National Policy on Social Development 2014/15–2024/25, National Social Protection Strategy 2014/15–2018/19, Lesotho Policy for Older Persons (2014), National Rehabilitation and Disability Policy (2011) and Performance Management Policies: PMS Guidelines (1995), PMS policy (2005); Performance Management and Development Policy (2009), Reward and Recognition Policy (2009), Performance and Development Management Policy (2010) and Draft PMS Policy (2013).

Chapter 4 of the study dealt with Objective 3, i.e. to identify challenges that impeded the implementation of the performance management system in the MSD since 2000 to 2014 by means of empirical research. The chapter outlined the methodology employed in this study. A quantitative approach was used to collect data. To gain insight into the perspectives of different authors on the challenges of implementing the PMS in the MSD in Lesotho, documentary reviews were used. These included primary and secondary data to complete the literature review (Chapter 2). Adhering to ethical conduct, the researcher obtained permission from the Department of Public Administration and Management Research Committee at the University of Free State to present the research proposal to the Faculty's Research Committee. The researcher sought permission to undertake an academic study to the Principal Secretary of the MSD and permission was granted. The MSD's respondents were informed that their participation was voluntary and that anonymity and confidentiality would be ensured. Questionnaires were used to collect data from the MSD respondents regarding the challenges in the implementation of the PMS. The population size used in this study was 100 public officers and the sample size chosen was 79 officers from salary Grade F to M. Forty-six (46) respondents completed the questionnaires (salary Grade F to J, see Table 5.1).

The questionnaire was structured in three sections. Section A was on the biographical data of respondents; Section B sought opinions from the respondents on the challenges of implementing the PMS in the MSD; and Section C sought views on strategies to be employed by managers in improving the implementation of the PMS in the MSD. The questions asked were coded into four response segments (i.e. 1. *poor/none*, 2. *moderate*, 3.

very good and *4. excellent*). Only two questions were open-ended and questions that followed closed-ended questions demanded a motivation if respondents selected response category *1. poor/none*. The questionnaire was pilot-tested on five MSD respondents in five departments. The idea was to establish whether the aim and objectives had been achieved and whether the respondents understood the questions. Data were analysed through a computer programme known as SPSS version 23, which showed descriptive statistics on respondents' answers. The descriptive statistics consisted of frequency distribution, graphical representation of data and summary statistics (explanation of findings and links to the literature).

Also in addressing Objective 3, the MSD respondents identified the following challenges that impeded the implementation of the PMS (captured in Chapter 5): The findings of the study established that training in PMS implementation was poor, particularly on PMS policies. The reasons advanced by the respondents indicated that policy initiatives were not properly disseminated; hence, the majority of PMS policies and some Acts and Regulations received ratings in the *poor/none* category. The respondents also indicated that they had not received PM training due to an insufficient budget. Another challenge that impeded the PMS implementation was lack of M&E plan and strategy. The results of the study indicated that M&E of performance was critical in organisations for attaining the highest desired levels of results.

The findings of the study revealed that communication channels in the MSD were poor and thus impeded the successful implementation of the PMS. The results of the study have shown that poor communication in policy dissemination hampers effective implementation of the PMS and service delivery. The respondents revealed that the MSD's communication channels were poor and these had a negative effect in PMS implementation. It was noted in the findings of the study that communication forms a vital tool in performance planning, review and M&E. Communication strategy tools assist in disseminating information timeously across the departments and districts in the MSD. It also helps in the implementation of the Ministerial Strategic Plan (MSP) 2014/15–2016/17, which is a component of the PMS. It is therefore recommended that the MSD develop its own communication strategy for promoting effective service delivery. The final challenge that impedes on the implementation of the PMS in the MSD could be linked to management challenges as indicated in Chapter 5, Section 5.4.2.

Chapter 5 also addressed Objective 4 of the study: to propose strategies to be employed by managers within the ministry's departments for improving the implementation of the

performance management system. From the responses gathered in this study, the respondents reported that training on PM was crucial and therefore managers should train staff on PMS, M&E, Public Service Acts and Regulations, ministerial and government policies. The respondents proposed that managers should hold departmental performance evaluation meetings at the end of the financial year in an effort to improve the PMS implementation and service delivery. The respondents further proposed that managers should improve communication channels, make the organogram clear, set roles and responsibilities of officers, departments should agree on activities, set key performance indicators for each programme and set performance standards for staff and work toward their attainment. The respondents proposed that managers should develop and publicise a clear communication strategy so that information is timeously disseminated across departments and districts. The respondents further advised that managers should provide material resources on time such as transport, offices, communication facilities, ICT equipment, internet and assistive devices to improve the PMS implementation and service delivery. Other recommendations made to managers to improve the PMS implementation and promote effective service delivery included setting and implementing a clear monitoring and evaluation plan and strategy; making the working environment conducive to services to be delivered effectively; monitoring employee performance regularly; comparing individual work plans against performance; and changing mindsets and attitudes of managers and officers to view PMS positively.

The respondents further proposed that managers should provide an adequate budget to execute ministerial activities, develop annual plans aligned to national development priorities, show commitment in the development and use of the PMS, review employee performance regularly and provide feedback and coaching. Moreover, the respondents proposed that the MSD should be capacitated by recruiting officers to work at Community level (Auxiliary Social Workers) and M&E Unit. The results also showed the need for recruitment of Instructors with the ability to teach the deaf and visually impaired persons (Sign Language and Braille) at Ithuseng Vocational and Rehabilitation Centre. The study also recommended that MSD's organisational structure be reviewed and put in place to fill positions that are very critical to promoting the mandate of the Ministry.

6.3 RECOMMENDATIONS

It is clear that there are enough supportive legislative and policy directives supporting the PMS. What appears to be a concern is the ineffective application of PMS principles. The practices of the MSD are not based on theoretical theories. The following recommendations were made in addition to recommendations that formed part of Chapter 5.

The Integrated Performance Management model (Figure 2.2) of Bouckaert and Halligan (2008: 28) describe their model as comprehensive and integrated. Focusing on this model will allow MSD to generate, integrate and use performance information systematically and coherently, as it was established by the authors that information produced by performance measurement system becomes part of a daily process of MSD management. Supporting these principles is the Organisation theory, which emphasises that performance management should be viewed as a process of connecting employee performance to the overall performance of an organisation. A subsection of the Organisational theory is the principles of the Systems theory. Performance management is viewed as part of the Systems theory application. Knowledge about PMS theories will assist MSD in applying theory to practise.

The social learning theory proposed by Bandura (1971) states that people could learn new information and behaviours by watching other people, known as observational learning. However, intrinsic reinforcement (pride, satisfaction and a sense of accomplishment) is critical in grounding learning. MSD needs to recognise that just because something has been learned, it does not mean that it will result in a change in behaviour and application so is the case with the PMS implementation.

Performance management must be underpinned by effective leadership and competencies from senior management (Arnold et al., 2012; Fletcher and Arnold, 2011). The authors emphasise the establishment of a culture that is focused on performance improvement as opposed to punishment for poor performance (also supported by Clardy, 2013, Van der Waldt, 2014). Apart from this, the MSD needs to embrace a continual monitoring, feedback, and dissemination of information. Brudan (2010: 6) supports this point of departure by focussing on everyday PM practices, high-quality discussions between employees and managers.

Leading organisations are beginning to adopt new better strategy for employee development and retention – Career Management. Career Management recognises that employees expect more from employment than just a job; they expect to build skills through experiences so they can further their cases. Career Management has the ability to explore and create options, which make it an ideal retention strategy. PM needs to be viewed as a process. By establishing clear performance expectations, which includes results, actions and behaviours, will assist employees in understanding what exactly is expected from them. Even managers will be able to identify which jobs are relevant and those that are not are eliminated. The eight steps of performance management process of Pulakos (2009) would be of value.

Pulakos (2009) further identifies four best practices relevant to the implementation of an effective PMS.

Recent research on performance management and performance management system offers valuable case studies. Bekker and Sefali (2011) note that poor implementation of PMS is mainly due to a lack of training incentives, lack of political commitment to implement the PMS as well as poor planning and a shortage of management skills that could assist in the implementation of the system (User- friendly appraisal forms and up-to-date documents be introduced (Sefali, 2010: 206-207). Of importance to the MSD is the proposal by Bekker and Sefali (2011) for the establishment of a department that solely deals with the implementation of the PMS for all government ministries, departments and agencies. Van der Waldt (2014: 148) recommends institutional arrangements in which a dedicated PMS unit should be created within the organogram of the municipality. The PMS unit should be capacitated to process performance related activities and information relating to strategic planning, budgeting, policy analysis, organisational reviews and performance appraisals for managers.

The study by Mpanga (2009) proposes an electronic system in completing performance appraisals for public servants in order to help improve the way appraisal history is kept so as to track continuous improving performers to be marked for reward and also to track underperformers for whom corrective measures need to be taken (Mpanga, 2009: 81).

The study conducted by Nath and Sharma (2014) draws on the diffusion of the innovation theory. PMS is regarded as an innovation that has not fully diffused into day-to-day organisational usage. MSD should show the courage to investigate the incorporation of innovative principles in the management of the PMS.

6.4 CONCLUSION

This chapter outlined the conclusions and recommendations drawn from the empirical findings of the study. It charted a summary of Chapter 2, which addressed Objective 1 of the study, namely to provide an overview of the theoretical framework of performance management. The chapter also highlighted a summary of Chapter 3, which addressed Objective 2 of the study: To document the existing legislative framework, policies and strategies supporting the implementation of the PMS in the MSD. This chapter captured a summary of Chapter 4, which addressed Objective 3 of the study, namely to identify challenges that impede the implementation of the PMS in the MSD since 2000 to 2014 by means of empirical research. Finally, this chapter provided a summary of Chapter 5, which

dealt with Objective 4 of the study – to propose strategies to be employed by managers within the ministry's departments for improving the implementation of the PMS.

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ANNEXURE A



12 June 2014

Miss LT Ramataboe

Department of Public Administration and Management

Dear miss Ramataboe

Thank you for your proposal on 6 June 2014 to the Research Committee of the Faculty of Economic and Management Sciences, proposing a MAdmin in Public Administration and Management.

On behalf of the Research Committee I hereby inform you that permission has been granted by the Committee for you to officially register for the proposed PhD. Please contact your promotor to plan the way forward.

Our best wishes accompany you during the research process.

Yours faithfully

p.p. **Prof. Philippe Burger**

Chairperson: Research Committee

Cc: Prof L Lues



ANNEXURE B

Ministry of Labour and Employment

Private Bag A116

Maseru 100

25 June 2015

Ref. No. LC/28783

Research Respondents
Ministry of Social Development
Private Bag A222
Maseru 100
Lesotho

Dear Respondent

MASTER OF ADMINISTRATION RESEARCH: CHALLENGES OF IMPLEMENTING THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

The performance management system (PMS) is one of the reform efforts introduced by Lesotho government, to ensure efficient and effective service delivery, improvement and sustainability of high productivity at all government levels. A performance management system's objectives are to provide a planning and change management framework that is linked to Lesotho's national development plan and budgetary process to enhance the capacity of government to achieve the desired level of socio-economic governance, improve the capacity of public officers in delivering appropriate services to the tax payers.

The aim of the study is to promote effective service delivery in the Ministry of Social Development through identifying the challenges that impede on the implementation of the PMS. This study is undertaken due to the realization that despite the implementation of this reform, service delivery has not improved to the required standards.

You are humbly requested to complete the attached questionnaire as accurately as possible. The information that you will provide will be used for academic purposes and will be maintained in strict confidence and no comments or answers will be directly attributed to you in any way.

Your cooperation will be highly appreciated.

Yours Faithfully

Miss L.T. Ramataboe (Researcher)

Department of Public Administration and Management

University of the Free State

ANNEXURE C

QUESTIONNAIRE CHALLENGES IN THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

INSRTUCTIONS

- i) You are to choose one response that best matches the description. There is no right or wrong answer.
- ii) Mark the response that you agree with, using a cross (x).

For example:

Please indicate your experience in the present position.

0-4yrs	
5-8yrs	X
9yrs and above	

- iii) The space is provided for each question to motivate your answer. Please be specific and as clear as possible.
- iv) Do not indicate your name on the questionnaire.

You are welcome to direct any inquiries about the content of this questionnaire to:

Miss Leonia Tefelo Ramataboe

Ministry of Labour and Employment

Contact numbers: 22326440/62567656/57107129

Email: leoniamataboe@yahoo.com

SECTION A: BIOGRAPHICAL DATA

		Official use
1.	Department	
	Administration	<input type="checkbox"/>
	Operations	<input type="checkbox"/>
	Finance	<input type="checkbox"/>
	Procurement	<input type="checkbox"/>
	Human Resources	<input type="checkbox"/>
	Planning	<input type="checkbox"/>
	Legal	<input type="checkbox"/>
	Children's Services	<input type="checkbox"/>
	Disability Services	<input type="checkbox"/>
	Elderly Services	<input type="checkbox"/>
	Information	<input type="checkbox"/>
	Audit	<input type="checkbox"/>
	Information and Technology	<input type="checkbox"/>
2.	Current position within the Ministry of Social Development	

3.	Current grade		
		F	<input type="checkbox"/>
		G	<input type="checkbox"/>
		H	<input type="checkbox"/>
		I	<input type="checkbox"/>
		J	<input type="checkbox"/>
		K	<input type="checkbox"/>
		L	<input type="checkbox"/>
		M	<input type="checkbox"/>
4.	Experience in the public service		
		Less than 5 years	<input type="checkbox"/>
		5-8 years	<input type="checkbox"/>
		More than 8 years	<input type="checkbox"/>
5.	Gender		
		Male	<input type="checkbox"/>
		Female	<input type="checkbox"/>
6.	Age		
		Younger than 30	<input type="checkbox"/>
		30 to 40	<input type="checkbox"/>
		Older than 40	<input type="checkbox"/>
		Older than 50	<input type="checkbox"/>

**SECTION B:
IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM (PMS) IN THE MINISTRY
OF SOCIAL DEVELOPMENT (MSD) IN LESOTHO**

					Official use
7.	Please rate your knowledge about the content of the following documents regarding the implementation of the PMS in the MSD by using a cross (x).				
	1. POOR/NONE (Below the required level)				
	2. MODERATE (At a required level)				
	3. VERY GOOD (A consistent standard)				
	4. EXCELLENT (Exceptional level)				
	United Nations Millennium Development Goals	1	2	3	4
	National Vision 2020	1	2	3	4
	National Strategic Development Plan 2012/13 – 2016/17	1	2	3	4
	National Rehabilitation and Disability Policy 2011	1	2	3	4
	National Policy on Social Development 2014/15 -2023/24	1	2	3	4
	National Social Protection Strategy 2014/15 – 2018/19	1	2	3	4
	Ministry of Health and Social Welfare HRD and Strategic Plan 2005 -2025	1	2	3	4
	National Strategic Plan on Vulnerable Children April 2012 - March 2017	1	2	3	4
	Ministerial Strategic Plan 2014/15 – 2016/17	1	2	3	4
	Policy for Older Persons 2014	1	2	3	4
	PMS Policy 2005	1	2	3	4
	Performance Management and Development Policy 2009	1	2	3	4
	Reward and Recognition Policy 2009	1	2	3	4

	Performance and Development Management Policy 2010	1	2	3	4	
	Draft PMS Policy 2013	1	2	3	4	
8.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)					
9.	How well do you know the following Lesotho Public Service Acts and Regulations?					
	1. POOR/NONE (Below the required level)					
	2. MODERATE (At a required level)					
	3. VERY GOOD (A consistent standard)					
	4. EXCELLENT (Exceptional level)					
	Public Service Act, 2005 (Act 2 of 2005)	1	2	3	4	
	Public Service Regulations 2008 (Act 2 of 2008)	1	2	3	4	
	Codes of Good Practice 2008 (Act 82 of 2008)	1	2	3	4	
	Basic Conditions of Employment for Public Officers Supplement Act 43 of 2011)	1	2	3	4	
	Public Financial Management and Accountability Act (Act 51 of 2011)	1	2	3	4	
10.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)					
11.	How well do you know the following concepts of a PMS?					
	1. POOR/NONE (Below the required level)					
	2. MODERATE (At a required level)					
	3. VERY GOOD (A consistent standard)					
	4. EXCELLENT (Exceptional level)					
	Strategic plan	1	2	3	4	
	Performance plan	1	2	3	4	
	Objectives	1	2	3	4	
	Goals	1	2	3	4	
	Performance standards	1	2	3	4	
	Performance indicators	1	2	3	4	
	Performance measurements	1	2	3	4	
	Performance monitoring	1	2	3	4	
	Performance evaluation	1	2	3	4	
	Performance budgeting	1	2	3	4	
12.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)					

13.	Please state how well you know and understand the below mentioned Performance Management Policies.				
	1. POOR/NONE (Below the required level)				
	2. MODERATE (At a required level)				
	3. VERY GOOD (A consistent standard)				
	4. EXCELLENT (Exceptional level)				
		PMS Policy 2005	1	2	3
	Performance Management and Development Policy 2009	1	2	3	4
	Reward and Recognition Policy 2009	1	2	3	4
	Performance and Development Management Policy 2010	1	2	3	4
	Draft PMS Policy 2013	1	2	3	4
14.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)				
15.	Please indicate the PM training you acquired.				
		Introduction to PMS			
		Lesotho Public Service Acts			
		Lesotho Public Service Regulations			
		PMS Policies			
		PM for Project Management			
		PM software			
		Automated PMS			
16.	Please indicate any other PM/PMS training acquired.				

					Official use	
17.	Please rate the involvement of the Ministry in PMS. 1. POOR/NONE (Below the required level) 2. MODERATE (At a required level) 3. VERY GOOD (A consistent standard) 4. EXCELLENT (Exceptional level)					
	Utilization of performance feedback systems (i.e. survey, suggestion box, radio/Television/Phone programmes, meetings, Pitsos and rallies)	1	2	3	4	
	Performance information flow (i.e. from the political appointees to top management to senior management to middle management and to the rest of the employees)	1	2	3	4	
	Efforts in setting performance and service standards.	1	2	3	4	
	Commitment in producing performance evaluation reports	1	2	3	4	
	Performance management control systems in place (i.e. Balanced Scorecard, Activity-based Costing, Budgeting, capital budgeting and Benchmarking)	1	2	3	4	
18.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)					
19.	Please rate the involvement of managers in each of the following PMS components. 1. POOR/NONE (Below the required level) 2. MODERATE (At a required level) 3. VERY GOOD (A consistent standard) 4. EXCELLENT (Exceptional level)					
	In developing sectional/departmental operational plans	1	2	3	4	
	In performance planning and development	1	2	3	4	
	In budget framework paper preparation	1	2	3	4	
	In performance budgeting	1	2	3	4	
	In preparing progress reports	1	2	3	4	
	In compliance to the development of performance agreements at the beginning of financial year (1 st April)	1	2	3	4	
	In adherence towards attendance of performance review meetings for purposes of monitoring and management of employee performance	1	2	3	4	
	In providing feedback on employee performance during performance review	1	2	3	4	
	In redressing poor/non-performance in your department	1	2	3	4	
	In accountability on the PMS	1	2	3	4	
	His or her skills in the implementation of the PMS	1	2	3	4	

20.	Please motivate your response if you selected 1. POOR/NONE (Below the required level)	

**SECTION C: IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE
MINISTRY OF SOCIAL DEVELOPMENT**

		Official use
21.	Please suggest ideas to promote effective service delivery in the MSD in Lesotho through the implementation of the PMS.	

		Official use
22.	Please identify challenges that impede on the implementation of the PMS in the MSD in order to achieve both ministerial and national goals and objectives and ultimately promote effective service delivery.	

THANK YOU FOR YOUR SUPPORT

ANNEXURE D

Ministry of Labour and Employment
Private Bag A116
Maseru 100

10 September, 2014

LC /P/28783

The Principal Secretary
Ministry of Social Development
Private Bag A222
Maseru 100

Dear Sir/Madam

RE: REQUEST FOR PERMISSION TO UNDERTAKE AN ACADEMIC STUDY ON
CHALLENGES OF IMPLEMENTING THE PERFORMANCE MANAGEMENT SYSTEM IN
THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

I wish to seek permission from your office to undertake a study on “challenges of implementing the performance management system in the Ministry of Social Development in Lesotho”. I am pursuing a Master of Administration (Dissertation) at the University of the Free State and as part of conforming to ethical considerations in conducting social science research, it deems crucial to solicit permission from your good office, which will enable access to some of the classified ministerial documents and augment response rate to questionnaires within the ministry.

I have attached a confirmation letter from the University of the Free State – Department of Public Administration and Management.

Your assistance in this regard will be highly valued.

Yours Faithfully

L.T. Ramataboe (Miss)
Administration Manager – Ministry of Labour and Employment

ANNEXURE E

ANNEXTURE E



**Ministry of Social Development
Private Bag A222
Maseru 100
Lesotho**

1st October, 2014

Department of Public Administration and Management
University of the Free State
Bloemfontein

Dear Sir/Madam,

**RE: PERMISSION TO CONDUCT RESERCH IN THE
MINISTRY OF SOCIAL DEVELOPMENT.**

This is to confirm that Miss Leonia Ramataboe has been granted permission to conduct research in this Ministry as per her request to fulfill the requirements of University studies.

She has been accorded the necessary support that she requested.

We hope you will find this information in order.

Yours faithfully,

A handwritten signature in blue ink, appearing to be 'L. Rajake', written over a dotted line.

**L. RAJAKE
HUMAN RESOURCE MANAGER**

ANNEXURE F



THE GOVERNMENT OF THE KINGDOM OF LESOTHO

MINISTRY:.....

PERFORMANCE AGREEMENT AND EVALUATION FORM FOR HON. MINISTERS AND ASSISTANT MINISTERS

JOB COMPACT: APRIL.....MARCH.....

NATIONAL (FROM VISION 2020):
.....

PARTY MANIFESTO

OBJECTIVES	AGREED KEY DELIVERABLES AND TIME	ACHIEVEMENTS	COMMENTS
OBJECTIVES	AGREED KEY DELIVERABLES AND TIME	ACHIEVEMENTS	COMMENTS
OBJECTIVES	AGREED KEY DELIVERABLES AND TIME	ACHIEVEMENTS	COMMENTS

HON. MINISTER : _____

THE RIGHT HON. THE PRIME MINISTER: _____

(FULL NAMES)

(SIGNATURE)

SIGNATURE : _____

DATE OF AGREEMENT: _____

DATE: _____

ANNEXURE G

PERFORMANCE MANAGEMENT FOR THE CIVIL SERVICE OF LESOTHO

PERFORMANCE AGREEMENT FORM – FOR TOP MANAGEMENT

(PRINCIPAL SECRETARIES, DEPUTY PRINCIPAL SECRETARIES, DIRECTORS AND
OTHER HEADS OF DEPARTMENTS INCLUDING

DISTRICT SECRETARIES)

Full Name.....Employment
No.....

Ministry.....Position.....
.....

Date Started Present Job Period
Covered.....

Key goals

Name of Immediate
Supervisor.....

Position.....
.....

Action	Job Holder Sign & Date	Immediate Supervisor Sign & Date
Key goals agreed		
Key Objectives agreed		
Competences agreed		
Agreed dates for reviews		
1st	To be filled on the review date	
2nd		
Overall Performance Assessment (achievement of objectives)		
Overall Competency Assessment		
Overall Performance Rating (Objectives and competence)		

PERFORMANCE PLAN

NAME:

POSITION.....MINISTRY/DEPARTMENT.....PERIOD
FROM:.....TO.....

KEY OBJECTIVES	KEY ACTIVITIES	PERFORMANCE INDICATORS STANDARDS/TARGETS(quality, quantity, time)	LEVEL OF ACHIEVEMENT RATING
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			Appraisee Rating	Appraiser Rating	Joint Rating	

PERFORMANCE PLAN

OVERALL PERFORMANCE ASSESSMENT:.....

LEVEL OF ACHIEVEMENT RATINGS:

- 4= Exceeded expected target
- 3= Fully met target
- 2= Partly met target
- 1= Did not meet target

COMMENTS:-

.....
.....
.....
.....

Appraiser's Signature.....Date.....

.....
.....
.....
.....

Appraisee's SignatureDate

	COMPETENCES			
CORE COMPETENCES	COMPETENCE DESCRIPTIONS	Appraisee Rating	Appraiser Rating	Joint Rating

<p>Strategic Management And Leadership</p>	<p>Sets the direction for Ministries, Departments and Agencies and inspire staff to achieve Organisational Goals/Objectives in line with Vision 2020, Poverty Reduction, Strategic Plan and Public Sector Improvement and Reform Programme, other national documents and Cabinet directives.</p>	<p>Gives direction to staff in realising the Organisation's strategic Objectives; Assists in defining performance measures to evaluate the success of strategies; Takes responsibility for all advice given to politicians by team members; Interacts constructively with the Cabinet, Parliamentarians etc. to achieve the set national goals; Achieves strategic objectives against specified performance measures; Demonstrates commitment to meeting the set targets, observing datelines to special assignments and Cabinet directives Translates strategies into action plans; Communicates strategic plan to the staff and other stakeholders; Utilises strategic planning methods and tools;</p>			
--	--	--	--	--	--

1. Staff Management and Empowerment	Manages and encourages staff, optimises their outputs and effectively manages relationships in order to achieve organisational goals	Seeks opportunities to increase personal contribution and level of responsibility; Delegates and empowers others to increase contribution, level of responsibility and accountability; Uniformly applies rules and regulations governing the public service; Facilitates team goal setting and problem solving;			
2. Financial Management	Manages budgets, revenue, and ministerial expenditure flow and administers tender procurement processes in accordance with Financial and other Regulations and procedures in order to ensure the achievement of strategic organisational objectives.	Understands, analyses and monitors financial reports; Allocates resources to established goals and objectives; Ensures effective utilisation of financial resources; Ensures regular production of financial reports;			

4. Performance Management	Takes ownership of Organisational strategic objectives, sets a sense of direction by explaining performance requirements to staff members. Keeps teams focussed on key objectives through regular reviews on individuals and team performance and progress.	Undertakes assessment and appraisal activities in accordance with PMS manual/guidelines Proactively works with individuals and teams to assess development in line with work plans, organisational objectives and personal requirements; Gives constructive feedback and proactively deals with issues concerning performance; Recognises individuals and teams and provides developmental feedback in accordance with performance management principles;			
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CORE COMPETENCES	COMPETENCE DESCRIPTIONS		Appraisee Rating	Appraiser Rating	Joint Rating
5. Communication	Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.	Delivers messages in a manner that gains support, commitment and agreement; Communicates controversial sensitive messages to stakeholders tactfully; Listens well and is receptive to all alternative viewpoints; Writes well-structured documents; Shares relevant information openly but respects the principle of confidentiality;			
6. Service delivery orientation	Willing and able to deliver services effectively and efficiently in order to put the spirit of customer service into practice.	Develops clear and implementable service delivery improvement programmes; Consults Ministries/Departments and other stakeholders on ways to improve service delivery; Adds value to the organisation by providing exemplary customer service;			

7. Honesty, Integrity and Trust	Displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service	Conducts self in accordance with organisation code of conduct; Honours the confidentiality of matters and does not use it for personal gain or the gain of others; Establishes trust and shows confidence in others; Treats all employees with equal respect; Uses work time for organisational matters and not for personal matters;			

8.Problem-solving and Analysis	Systematically identifies, analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner	Determines root causes of problems, evaluates whether solutions address root causes and provides rationale for proposed solutions; Adopts systematic approach when analysing information for decision making (consults colleagues, relevant stakeholders) Demonstrates the ability to break down complex problems into manageable parts and identify solutions. Demonstrates ability to handle and resolve disputes and conflicts; Identifies the relative values of hard data, and other factors;			
--------------------------------	---	--	--	--	--

CORE COMPETENCES	COMPETENCE DESCRIPTIONS		Appraisee Rating	Appraiser Rating	Joint Rating
9. Programme and Project Management	Plans, Manages, Monitors and evaluates Programmes and Projects	Establishes broad stakeholder involvement and communicates the project status, and key outcomes; Defines roles and responsibilities for project team members and clearly communicates expectations; Controls project resources to ensure quality of work with deadlines and budget; Conducts regular project review meetings to ensure appropriate corrective measures where necessary;			
10. Knowledge Management	Obtains, analyses and promotes the generation and sharing of knowledge and	Uses appropriate information systems to manage organisational knowledge; Identifies key sources of			

	learning in order to enhance the collective knowledge of the Ministry/Department s/Agencies	information (libraries, Research/Consultancy Reports, proper files) relevant to the management function; Openly shares relevant information with staff, colleagues and own principals; Evaluates information from multiple sources and uses information to influence decisions; Creates and maintains mechanisms and structures for sharing knowledge in the organisation;			
11. Change Management	Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments	Prepared to challenge established ways of working and suggest new and more effective alternatives; Coaches colleagues on how to manage change; Supports all team members through the process of change,			

		responding quickly to individual concerns; Ensures all team members have the opportunity to learn new skills to help them work in a changed environment; Uses legislative and regulatory processes of the Public Service to drive and implement change efforts;			
--	--	---	--	--	--

OVERALL COMPETENCY ASSESSMENT:.....

LEVEL OF COMPETENCY RATING:

- = Above average
- = Average
- = Below average

5

HALF-YEARLY PROGRESS REVIEW

To be completed every six months during the review year. Progress and any required adjustments to the Work-plan are noted. If additional space required add an extra page.

<p>Progress for the 1st Semester from to</p>	<p>Work plan Adjustments if any (insert amendments and indicate here, affected objectives)</p> <p>Appraiser's Comment on Progress made to date</p>	<p>Appraisee's Comment</p>
--	--	--------------------------------

	<p>Signature</p> <p>.....</p> <p>Date</p> <p>.....</p>	<p>Sign</p> <p>.....</p> <p>Date</p> <p>.....</p>
<p>Progress for the 2nd Semester</p> <p>from</p> <p>.....</p> <p>to</p> <p>.....</p> <p>..</p>	<p>Work-plan Adjustments if any (insert amendments and indicate here, affected objectives)</p> <p>Appraiser's Comment on Progress made to</p>	<p>Appraisee's Comment</p>

	date Signature Date	Sign Date
--	---	-----------------------------

TRAINING AND DEVELOPMENT NEEDS

Period of Review: From To

Development Planning (this portion of the Appraisal Form will be copied and forwarded to the Training Section and used as the basis for the following year's training needs analysis).
Name: Personal No:
Designation: Grade:
Ministry:

Department/Section	
DEVELOPMENT NEEDS	DEVELOPMENT SUGGESTIONS
(a) Technical (Specify)	
(b) Managerial (Specify) (Coaching on the job, course, study tour)	
Other	

Appraiser's Signature.....Appraisee's Signature

Date.....Date.....

ANNUAL PERFORMANCE REVIEW

To be completed at the end of the review period or when an employee leaves a position.

Details of additional contributions made to Ministry and elsewhere: (To be filled-in by the Appraiser)

Overall Remarks/Comments

Appraisee:

Signature:.....
.....Date:.....
.....

Appraiser:

Signature:.....

.....Date:.....

Overall Performance Rating

Very

Good

Good

Satisfactory

Unsatisfactory

Consistently exceeding
performance less than
met and competency

consistently meeting
and competency
required, and competency

Most targets partially
targets and competency

above average
below average

at average level

at average level

Appraiser

Appraisee

.....

Signature

Signature

Date

Date

ANNEXURE H

PERFORMANCE MANAGEMENT SYSTEM FORM 29A

PERFORMANCE REVIEW FORM

MINISTRY	SECTION	DEPARTMENT

PERIOD OF REVIEW: FROM: TO:

GENERAL GUIDANCE

This form is part of Performance Management System for the Civil Service of Lesotho. The basic purpose is to assess, as objectively as possible the employee's performance in the present job. The assessment will facilitate an objective and consistent basis for management decisions affecting advancements and employee development programmes.

For the appraisal to be objective, it is essential that the reporting officer:

Clearly understands the contents of the appraisee's job description and job specifications;

Properly knows the officer being apprised through work supervision of at least three months.

Before working on this Form, supervisors or appraiser and appraisees should be familiar with the document Performance Management system for the Civil Service of Lesotho Guidelines.

PERSONAL INFORMATION

1. NAME OF OFFICER:.....
EMPLOYMENT NUMBER.....
POSITION:.....
DAY.....MONTH..... YEAR.....
FIRST APPOINTMENT TO PRESENT JOB

COURSES ATTENDED DURING
PERIOD OF APPRAISAL

PERIOD WORKING WITH THE
PRESENT APPRAISER

2. NAME OF APPRAISER.....
POSITION
FIRST APPOINTMENT
.....
APPOINTMENT TO PRESENT POST
.....

1. NAME OF OFFICER: EMPLOYMENT NUMBER:
POSITION:

DAY.....MONTH..... YEAR.....

FIRST APPOINTMENT TO PRESENT JOB

COURSES ATTENDED DURING
PERIOD OF APPRAISAL

PERIOD WORKING WITH THE
PRESENT APPRAISER

2. NAME OF APPRAISER
POSITION

FIRST APPOINTMENT
APPOINTMENT TO PRESENT POST

This form is confidential and is held by the Supervisor during the review year. The appraisee should hold a copy. When completed, the form is held in the appraisee's confidential file. It is available to Senior Management and Appraisee only. Three to four (3-4) copies should be completed and distributed as follows:

One copy to remain at Headquarters

The other one goes to the Department

The third and fourth to be held by the MPS and the Employment, respectively.

ANNUAL WORKPLAN

NAME :

POST TITLE:

DEPARTMENT:

PERIOD FROM:

TO:

KEY TASKS/ OBJECTIVES	TASKS (Activities further broken down)	PERFORMANCE INDICATORS (How will results be measured)	PERFORMANCE STANDARDS/ TARGETS (An agreed minimum level of performance)	REMARKS

Appraiser's Signature:..... Appraisee's Signature:.....

Date :..... Date:.....

ANNUAL WORKPLAN

NAME :

POST TITLE:

DEPARTMENT:

PERIOD FROM:

TO:

KEY TASKS/ OBJECTIVES	TASKS (Activities further broken down)	PERFORMANCE INDICATORS (How will results be measured)	PERFORMANCE STANDARDS/ TARGETS (An agreed minimum level of performance)	REMARKS

Appraiser's Signature:..... Appraisee's Signature:.....

Date :..... Date:.....

Development Planning (this portion of the Appraisal Form will be copied and forwarded to the Training Section and used as the basis for the following year's training needs analysis.

Name: _____ Personal Number: _____

Designation: _____ Grade: _____

Ministry: _____ Department: _____

DEVELOPMENT NEEDS	DEVELOPMENT SUGGESTIONS
(a) Technical (Specify)	
(b) Managerial/Supervisory (Specify)	
(c) Organisational, e.g. Job Rotation, Internal Exposure, transfer to another job.	
Other	

Appraiser's Signature:..... Appraisee's Signature:.....

Date :..... Date:.....

RATING ON ANNUAL WORKPLAN

NAME:

POST TITTLE:

DEPARTMENT:

PERIOD FROM: TO:

KEY TASKS/ OBJECTIVES	PERFORMANCE INDICATORS	PERFORMANCE STANDARDS/ TARGETS	LEVEL OF ACHIEVEMENT RATING			COMMENTS ON ACHIEVEMENTS/CONSTRAINTS/ASS UMPTIONS
			Employee Rating	Supervisor Rating	Joint Rating	
Areas of the job that are the most important. Key Performance Areas should be based on the job and agreed objectives.	State performance indicators which verify performance	An agreed minimum level of performance	How has the employee performed in the key tasks			
			Employee Rating	Supervisor Rating	Joint Rating	

Appraiser's Signature:

Appraisee's Signature:

LEVEL OF ACHIEVEMENTS RATINGS:

4 = EXCEEDED EXPECTED TARGET

3 = FULLY MET TARGET

2 = PARTLY MET TARGET

1 = DID NOT MEET TARGET

To be completed every three months during the year. Progress and any required adjustments to the work plan are noted. If additional space required add an extra page.

Progress for the quarter	Work plan Adjustments if required	Appraisee's Comment
From:	Appraiser's Comment on Progress made to date	Signature..... Date:
To:	Signature:.....Date :	
Progress for the quarter	Work plan Adjustments if required	Appraisee's Comment
From:	Appraiser's Comment on Progress made to date	Signature..... Date:
To:	Signature:.....Date :	
Progress for the quarter	Work plan Adjustments if required No adjustments made	Appraisee's Comment
From:	Appraiser's Comment on Progress made to date	Signature..... Date:
To:	Signature:.....Date :	
Progress for the quarter	Work plan Adjustments if required	Appraisee's Comment
From:	Appraiser's Comment on Progress made to date	Signature..... Date:
To:	Signature:.....Date :	
Progress for the quarter	Work plan Adjustments if required	Appraisee's Comment
From:	Appraiser's Comment on Progress made to date	Signature..... Date:
To:	Signature:.....Date :	

PERSONAL QUALITIES AND BEHAVIOUR SCALE

	4	3	2	1	RATING	REMARKS
1. KNOWLEDGE OF WORK How well the officer knows the objective and procedure of the job.	Fully informed	Knows the job well	Has mastered most details	Improving slowly		
2. OUTPUT: ACCURACY Reliability	Highest possible	Very good	Satisfactory	Too many faults		
3. TIME MANAGEMENT Qualifying of Time Keeping and level of absenteeism	Never late and keeps appointments	Late once in 3 months	Late once every months	Often late		
4. INITIATIVE How much initiative resulting in accomplished is shown	Very high level of initiative	Much initiative	Adequate	Rarely shows any		
5. INTER-PERSONAL RELATIONS Ability to get along with co-workers and the public	Exceptionally good	Very good	Reasonably good	Somewhat lacking		
6. EXPRESSION	Exceptionally good at all times	Always clear and well set out	Generally clear and concise	Good enough to get by		
7. ORGANISATION OF WORK	Exceptionally effective organiser	Considerable organising skills	Satisfactory	Indifferent organiser		

Appraiser's Signature:

Appraiser's Signature:

Date:

Date:

ANNUAL PERFORMANCE REVIEW

To be completed at the end of the review period or when an employee leaves a position.

Details of additional contributions made to Section: by the Appraiser/Head of Department.
Appraiser's Remarks

Rating Performance

Outstanding Very Good Good Satisfactory
Unsatisfactory

Exceptional performance performance performance
performance less
Performance consistently at required usually meets than
expected
at required level required level level
level

Appraiser's Signature: Appraisee's Signature:.....

Date:Date:

ANNEXURE I

**PERFORMANCE REVIEW FORM
FORM 29B
GRADE A – D EMPLOYEES**

PERIOD OF REVIEW FROM.....TO:.....

NAME.....EMPLOYEE NO.....

MINISTRY/DEPARTMENT.....SECTION.....

JOB TITLE.....GRADE:.....

DATE OF 1ST APPOINTMENT

PERIOD IN PRESENT JOB

NAME OF APPRAISER:.....

INSTRUCTIONS: Section A is filled in quarterly
Please Tick () appropriate blocks
Appraisee should tick in Blocks 1, Appraiser in Blocks 2 and Joint
Rating in Blocks 3.)

SECTION A:

PROGRESS FOR THE QUARTER: FROM.....TO.....									
JOB FACTORS	VERY GOOD			SATISFACTORY			UNSATISFACTORY		
	1	2	3	1	2	3	1	2	3
1. Job Knowledge									
2. Time Keeping									
3. Vehicle/Plant/ Equipment Maintenance									
4. Quality of work									
5. Output (if applicable)									
6. Co-operation with Supervisors									
7. Co-operation with Supervisors									
8. Relationship with the Public									

Appraiser's Signature..... Appraisees' Signature.....

DATE..... DATE.....

PROGRESS FOR THE QUARTER: FROM.....TO.....									
JOB FACTORS	VERY GOOD			SATISFACTORY			UNSATISFACTORY		
	1	2	3	1	2	3	1	2	3
1. Job Knowledge									
2. Time Keeping									
3. Vehicle/Plant/ Equipment Maintenance									
4. Quality of work									
5. Output (if applicable)									
6. Co-operation with Supervisors									
7. Co-operation with Supervisors									
8. Relationship with the Public									

Appraiser's Signature.....

Appraisee's Signature.....

DATE.....

DATE.....

PROGRESS FOR THE QUARTER: FROM.....TO.....									
JOB FACTORS	VERY GOOD			SATISFACTORY			UNSATISFACTORY		
	1	2	3	1	2	3	1	2	3
1. Job Knowledge									
2. Time Keeping									
3. Vehicle/Plant/ Equipment Maintenance									
4. Quality of work									
5. Output (if applicable)									
6. Co-operation with Supervisors									
7. Co-operation with Supervisors									
8. Relationship with the Public									

Appraiser's Signature.....

Appraisee's Signature.....

DATE.....

DATE.....

PROGRESS FOR THE QUARTER: FROM..... TO.....									
JOB FACTORS	VERY GOOD			SATISFACTORY			UNSATISFACTORY		
	1	2	3	1	2	3	1	2	3
1. Job Knowledge									
2. Time Keeping									
3. Vehicle/Plant/ Equipment Maintenance									
4. Quality of work									
5. Output (if applicable)									
6. Co-operation with Supervisors									
7. Co-operation with Supervisors									
8. Relationship with the Public									

Appraiser's Signature.....

Appraisees' Signature.....

DATE.....

DATE.....

COURSES ATTENDED DURING PERIOD OF APPRAISAL

.....
.....

SECTION B: OVERALL ASSESSMENT OF PERFORMANCE

To be filled at the end of the year or when an employee leaves a position

VERY GOOD					SATISFACTORY					UNSATISFACTORY							
1		2		3		1		2		3		1		2		3	
All main duties carried out well and with minimum supervision. The way the job can be done Has been improved					The majority of duties carried out to acceptance standards.					Close supervision required to Achieve progress and avoid mistakes. Present performance not acceptable; must improve							

Appraiser's Signature.....

Appraiser's Signature.....

DATE.....

DATE.....

SECTION C:

Appraisee's	
Remarks:.....	
.....	
Signature	Date

Appraisee's	
Remarks:.....	
.....	
Signature	Date

Head of Section Remarks:	
.....	
Signature	Date

SECTION D: TRAINING AND DEVELOPMENT NEEDS

(To be filled in during the preparation of annual work plans, if it is necessary)

FROM:.....TO.....

TRAINING AND DEVELOPMENT NEEDS (identified areas requiring training development)	DURATION AND TARGETS DATES

Appraiser's Signature..... **Appraisee's Signature**.....

DATE..... **DATE**.....

ANNEXURE J

**CORRIE GELDENHUYS
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8 January 2016

TO WHOM IT MAY CONCERN

Herewith I, **Cornelia Geldenhuys (ID 521114 0083 088)** declare that I am a qualified, accredited language practitioner and I have edited the dissertation of the following student:

SURNAME AND INITIALS: **RAMATABOE L.T.**

STUDENT NUMBER: **2006090233**

DEGREE: **MASTER OF ADMINISTRATION**

TITLE OF THE DISSERTATION:

CHALLENGES IN THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF SOCIAL DEVELOPMENT IN LESOTHO

All changes were indicated by **track changes and comments** for the student **to verify and finalise**.



.....

C GELDENHUYS

MA (LIN – *cum laude*), MA (Mus), HED, Postgraduate Dipl, Library Science, UTLM

<p>ACCREDITED MEMBER OF SATI – Membership number: 1001474 (APTrans) GEAKKREDITEERDE LID VAN SAVI – Lidmaatskapnommer: 1001474 (APVert) Member of/Lid van PEG (The Professional Editors Guild)</p>
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