THE IMPACT OF A PERFORMANCE MANAGEMENT SYSTEM ON ACCOUNTABILITY IN THE PUBLIC SERVICE OF LESOTHO

by

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DECLARATION

I sincerely and solemnly declare that this thesis submitted in fulfilment of the requirements for the Degree

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ABSTRACT

The concept of a performance management system (PMS) is dynamic and controversial amongst both public management academics and practitioners. It has a variety of contexts, forms and purposes as applied and perceived internationally. It is worth-noting that the concept of the PMS is relatively new in the Public Service of Lesotho. However, the PMS has existed for decades as an administration and management concept internationally.

This thesis has attempted to investigate the impact of the PMS on accountability in the Public Service of Lesotho. As a result, an attempt has been made to define the PMS, accountability as well as establishing the relationship between the two concepts (PMS and accountability).

An empirical study was undertaken to solicit opinions of the public officials on the relationship between the PMS and accountability; and their understanding of the PMS concept and its implementation in Lesotho. The study utilised a survey method of scientific inquiry. As a result, questionnaires were distributed to a statistically selected sample of public officials to respond. This study employed a triangulation approach in which both the qualitative and quantitative research methods were used.

Findings were made after the analysis of the survey responses. Firstly, it was established that most of the public officials did not well understand the application of the PMS on their day-to-day work due to lack of training. Secondly, it was revealed that there was no evident commitment by the Government of Lesotho to properly implement the PMS. Thirdly, the study found out that due to a lack of incentives the majority of the public officials were not motivated enough to correctly implement the PMS. Furthermore, there was no clear evidence that the PMS enhanced accountability in the Public Service of Lesotho. In addition, the study highlighted the problem of outdated guidelines, forms and legislation related to the PMS. Finally, the study proposed that the Government of Lesotho should make more effort to revamp the implementation of the PMS. This effort should focus on, amongst others, the following:

- Intensifying training on the PMS and its practical relationship with accountability.
- Reviewing the PMS documents to be informed by the tenets of the New Public Management.
- Reorganising Government institutions to fully participate and own and commit to the implementation of the PMS.
- Facilitating the introduction of the Performance Related Pay system (PRP).

It has been concluded that the implementation of the PMS has been handled with less enthusiasm, commitment and was not wholly embraced by all relevant stakeholders. The PMS related management tools such as strategic planning, job descriptions, work plans and performance standards were not strongly emphasized during the implementation of the PMS. This lack of strong emphasis did not assist to enhance the PMS implementation. The above were identified as deficiencies that warranted prompt attention by the Government of Lesotho, particularly the Ministry of the Public Service.

OPSOMMING

Die konsep van 'n prestasiebestuurstelsel (PBS) is dinamies en kontroversieel tussen beide openbarebestuur akademici sowel as praktisyns. Dit bestaan uit 'n verskeidenheid kontekste, vorms en doele soos internasionaal toegepas en waargeneem word. Dit is die moeite werd om te let dat die konsep van PBS relatief nuut in die Openbare Dienste van Lesotho is. Nogtans bestaan die PBS dekades lank internasionaal as 'n administratiewe en bestuurs konsep.

Hierdie tesis het gepoog on ondersoek in te stel oor die impak van die PBS op toerekenbaarheid in die Openbare Dienste van Lesotho. As gevolg daarvan is daar gepoog om die PBS te defineer, toerekenbaarheid vas te stel en om 'n verhouding te vestig tussen die twee konsepte (PBS en toerekenbaarheid).

'n Proefondervindelike studie is onderneem om die opinies van openbare beamptes oor die verhouding tussen die PBS en toerekenbaarheid te bekom sowel as hulle begrip van die PBS konsep en sy implementering in Lesotho. Die studie het gebruik gemaak van 'n opmetings metode van wetenskaplike ondersoek. As gevolg daarvan, is vraagstukke versprei aan 'n statistiese geselekteerde groepie openbare beamptes. Hierdie studie het van 'n driehoekige aanslag gebruik gemaak waar albei die kwalitewe sowel as kwantitiewe navorsings metodes geimplimenteer is. Nadat die vraagstukke se opmetings saamgevat is en geaniliseer is, is die volgende vasgestel:

Eerstens is daar vasgestel dat weens 'n gebrek aan opleiding, dat die meeste van die openbare beamptes nie die toepassing van die PBS en hulle dagtake verstaan het nie. Tweedens is dit bloot gelê dat daar geen duidelike onderneming deur die Regering van Lesotho was om die PBS behoorlik te implimenteer nie.

Derdens het die studie bevind, dat weens 'n gebrek aan aansporing, die openbare beamptes nie genoegsame motiveering gehad het om die PBS korrek te implimenteer nie. Daar was ook geen duidelike bewys dat die PBS toerekenbaarheid bevorder het in die Openbare Dienste van Lesotho nie. Daarbenewens het die studie die probleem uitgelig

van verouderde riglyne, vorms en wetgewing verbonde aan die PBS. Laastens het die studie voorgestel dat die Regerings van Lesotho meer moeite moet doen om die implementering van die PBS op te knap. Hierdie poging moet onder andere fokus op:

- Die intensifiseering van PBS opleiding en die praktiese verhouding met toerekenbaarheid.
- Die hersiening van PBS dokumente om ingelig te word deur die leerstelling van die Nuwe Openbare Bestuur.
- Die herorganiseering van Regeringsinstellings om volledige deel te neem, besit te neem van die toewyding met die implemtering van die PBS.
- Fasilitasie van die inleiding van die Prestasie Verwante Betalingsisteem (PVB).

Die gevolgtrekking is dat die implementeing van die PBS met minder entoesiasme en toewyding hanteer is en dat dit dus nie geheel deur alle relevante insethouers aanvaar is nie. Die PBS verwante bestuursgereedskap soos strategiese beplanning, werksbeskrywings, werksplanne en prestasie standaarde is nie ten sterkste beklemtoon nie. Die gebrek aan sterk beklemtoning het nie geassisteer met die verheffing van die PBS implementering nie. Die bogenoemde is geidentifiseer as tekortkominge wat daadwerkilke aandag van die Regerings benodig.

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ABBREVIATIONS

CFTC: Commonwealth Fund for Technical Cooperation

CSRP: Civil Service Reform Programme

ESAPs: Enhanced Structural Adjustment Programmes

GAO: United States Government Accountability Office

IDM: Institute of Development Management

ILO: International Labour Office

IMF: International Monetary Fund

IOM: International Organisation for Migration

IPM: Integrated Performance Management

LIPAM: Lesotho Institute of Public Administration and Management

OECD: Organisation for Economic Co-operation and Development

PMS: Performance management system

PRP: Performance related pay

UNAIDS: United Nations Programme on HIV/AIDS

UNDP: United Nations Development Program

UNICEF: United Nations Children's Fund

WHO: World Health Organisation

RIPA: Royal Institute of Public Administration

THE IMPACT OF A PERFORMANCE MANAGEMENT SYSTEM ON ACCOUNTABILITY IN THE PUBLIC SERVICE OF LESOTHO

CHAPTER ONE

1. 1 INTRODUCTION

Public institutions have shifted their focus from mere goods and services provision to an emphasis on quality, cost, effectiveness, timeliness and sustainability. There are several management tools and legal guidelines that direct these institutions towards enhanced productivity and accountability.

The Bretton Woods institutions namely the International Monetary Fund (IMF) and the World Bank have in the past criticised public institutions in developing countries, especially in Africa, for poor service delivery, lack of accountability and diminishing productivity. The public sector in Africa was dubbed as the source of wasted resources and a major contributing factor to dwindling economies. The early 1980s saw concerted efforts by governments to enhance accountability and productivity.

A myriad of management systems and strategies were introduced to achieve increased productivity and accountability. Public sector organisations in developing countries began to strongly emphasise concepts such as efficiency, effectiveness, quality, performance, profit, transparency, accountability, productivity, competition, planning and strategies.

The new initiative in the public sector towards efficiency, effectiveness and economic use of resources was called the new public management in the 1990's. The Government of Lesotho did not want to be left out from the benefits of the new public management; consequently it adopted the tenets of a performance management system as a component or an aspect of the new public management. This aspect of public management aims to assist the government to achieve its primary goal of delivering services in an effective, efficient and accountable manner to the citizens. The test of good governance extends beyond political rhetoric to specific deliverables. Therefore, the government has to ensure that it delivers what it has promised the citizens.

1.2 BACKGROUND AND REASON FOR STUDY

Accountability is a major goal in government activities and therefore the public sector strives to realise it. Different strategies are used by governments in different parts of the world to enhance accountability (Minnaar and Bekker 2005: vi). However, in Lesotho, a performance management system is used to realise the goal of increasing accountability (Kingdom of Lesotho 1994: 32). The concept of performance management is relatively new in the Public Service of Lesotho; consequently, its implementation needs to be assessed to establish if the primary aim of enhancing accountability is being achieved or not, over the last five years of implementation. Therefore, the reason for this study is to establish whether this implementation of a performance management system has enhanced accountability of the Public Service of Lesotho or whether it has failed to achieve this goal.

Research on this topic has not been undertaken in Lesotho and this study will pioneer this area and will be a significant source for purposes of international comparative study. The concept of a performance management system is fundamental for successful public administration worldwide. This augurs well for Lesotho to partake in the global initiative of enhancing public administration by adopting and implementing universally embraced initiatives such as a performance management system. This study will, therefore, compare the implementation and impact of a performance management system at the international level and at local (Lesotho public service) level.

1.3 PROBLEM STATEMENT

The Public Service of Lesotho has for almost thirty-nine years since independence in 1966 been grappling mainly with the problems of employees who seldom or never care about accountability, are notorious of poorly implementing policies and programmes, lack of effectiveness and efficiency, poor utilisation of the budgets, weak supervision of junior and senior officials and demoralised public officials. Thus, the introduction of a performance management system is aimed to address these problems. This study will establish the impact of a performance management system in addressing the above-listed problems and in particular the issue of accountability which is central to these problems.

1.4 HYPOTHESIS FORMULATION

The effective implementation of a performance management system can improve accountability in the Public Service of Lesotho.

1.5 AIM AND OBJECTIVES FOR THE RESEARCH

This study has an aim and a set of objectives that it envisages to achieve. These are outlined in the sections that follow.

1.5.1 Aim for the research

This study aims to assess whether there has been a positive or negative impact of a performance management system on the accountability in the public service of Lesotho. This means that the study will draw conclusions on whether the implementation of a performance management system in Lesotho has enhanced accountability in the public service or whether it has failed to achieve this goal. The objectives that will be outlined in the following paragraph are crucial for this aim to be achieved.

1.5.2 Objectives for the research

The following are the objectives that this study aims to achieve:

- Research the concept of performance management and its theories.
- Review the relevant literature to establish the relationship between a performance management system and accountability.
- Assess the impact of a performance management system on accountability in the Public Service of Lesotho.

1.6 RESEARCH METHODS

This thesis will follow a scientific research approach as explained in Chapter Five. The same chapter outlines what constitutes a scientific research and defines a variety of research methods used in a scientific research.

1.7 KEYWORDS/ CONCEPTS

The following are the key words that will be frequently used in this study:

Public sector, public servants, public employees, civil servants, public officials, government officers, government, accountability, performance, management, system, appraisal, democracy, competition, strategic planning, objectives, goals, mission statement, vision, supervisor, subordinate, performance management system, performance planning, performance budgeting, performance appraisal, performance review and integrated performance management.

1.8 CHAPTER OUTLINE

Chapter One:

Introduction

This chapter will discuss the problem that the research wishes to address or investigate. Specifically, background and reason for study, hypothesis, objectives, research methods and chapter outline will be dealt with in this chapter.

Chapter Two:

Perspectives on a performance management system and accountability

This chapter will define in detail the concepts of a performance management system and accountability. The components of these two concepts will be clearly outlined. This will enable the readers of this study to comprehend the arguments contained herein with ease. The relationship between a performance management system and accountability will be delineated in this chapter.

Chapter Three

Integrated performance management

This chapter will deal with the linkages between a performance management system, strategic planning and the budget. These three concepts are complementary. They are together responsible for an effective public service delivery (Cohen and Eimicke 2002: 187 and Ball 1998: 2). A number of other concepts that are inherently connected to the discussion of an integrated performance management will be defined.

Chapter Four:

Introduction and implementation of the concept of a performance management system in the Public Service of Lesotho

This chapter will provide a discussion of when and how the concept of a performance management system was introduced and implemented in the Public Service of Lesotho. The political environment during which the introduction and implementation of a performance management system was carried out will be outlined. The attitudes and concerns of the public servants during the introduction and implementation of a performance management system will be highlighted. The contents and elements of a performance management system as applied in Lesotho and internationally will be outlined. The difficulties that were encountered during the implementation of a performance management system will be highlighted. The conflict resolution mechanisms used in Lesotho in relation to the application of a performance management system will be provided.

Chapter Five:

Research methods

This chapter will show the research methods that will be used to undertake the empirical investigation. Definition of research methods and techniques will be made and as well as a selection of appropriate research methods.

Chapter Six:

Data analysis and research findings

A discussion and interpretation of data will be done in this chapter. Questionnaires will be used to collect information from the public officials on the challenges and constraints regarding the implementation of the performance management system in the public service of Lesotho and its impact on accountability. Descriptive statistics will be used to analyse data. Bless and Kathuria (1993:19) define descriptive statistics as the method of analysing data by means of description or "summarising" data collected from a sample. Descriptive statistics presents data by means of tables and graphical distribution, and describes data by "means (averages) and variance as well as correlations". Descriptive

statistics will be used in this chapter to analyse and interpret the data collected from the public officials

Chapter Seven:

Conclusion and recommendations

This will be the final chapter. It will provide a way forward for improvement on the implementation of a performance management system in order to ensure that it achieves the objective of enhancing accountability in the Public Service of Lesotho. This chapter will incorporate a set of recommendations and a conclusion based on research findings.

1.9 CONCLUSION

This chapter provided a brief context of a performance management system in the New Public Management discourse. It highlighted the role of the World Bank and International Monetary Fund with regard to the introduction and implementation of a performance management system in both developed and developing countries including Lesotho. The reasons for the introduction and implementation of this concept in the Public Service have been provided. Key amongst these reasons includes enhancing effective and efficient use of public resources, accountability and productivity. This chapter outlines the approach that will be utilised by this thesis in terms of the problem to be studied, objectives of the research, research methods and chapter outline amongst others.

<div align="center">**CHAPTER TWO**</div>

<div align="center">**PERSPECTIVES ON A PERFORMANCE MANAGEMENT SYSTEM AND
ACCOUNTABILITY**</div>

2.1 INTRODUCTION

This chapter defines in detail the concepts of a performance management system and accountability. The components of these two concepts are clearly outlined. It is assumed that the definition of these concepts will enable readers to comprehend the arguments contained herein easily. The relationship or linkages between a performance management system and accountability is outlined in this chapter. The following concepts are defined in this chapter:

- Performance management system.
- Performance.
- Management.
- System.
- Performance management.
- Performance appraisal.
- Performance planning.
- Performance standards or targets.
- Performance indicators.
- Effectiveness.
- Efficiency.
- Accountability.

It is important to define these concepts, as they are an integral part of the perspectives held about a performance management system and accountability. It is necessary to first define concepts before analysing them or making arguments that relate to them. Accountability is included in the definition of the above outlined concepts because of its fundamental relationship with a performance management system (Sangweni 2003: 20 and Van der Molen *et al.* 2002: 293-295).

2.2 PERFORMANCE MANAGEMENT AS A SYSTEM

A performance management system is a systematic method of ensuring common understanding about goals and objectives of the organisation through the use of planning and reaching consensus on the level of performance, quality, quantity and standard of performance expected from the employee (Norman 2002: 619; Soltani *et al.* 2005: 213 and Kingdom of Lesotho 2001c: 3). The discussion between the supervisor and the subordinate on what to achieve and how to achieve that, in line with the organisational overarching goals and objectives, provides the summary of the content and the definition of a performance management system (Norman 2002: 619; Selden *et al.* 2001: 605 and Kingdom of Lesotho 2005a: 23).

A system of performance management in the public sector strives to oversee, guide, manage and review the work done by public servants (Kingdom of Lesotho 2005a: 23; Kingdom of Lesotho 1995b: 4; Carrell *et al.* 1998: 259; Kingdom of Lesotho 2001a: 1; Noe *et al.* 2000: 276 and Armstrong and Murlis 2000: 240). A performance management system is set in the tradition and values of an institution that shapes its management ethos and philosophy and it relies wholly on individual employee's attitude and way of doing things (Soltani *et al.* 2005: 215).

A performance management system aims to enable an individual employee to have capacity to apply his or her knowledge in order to improve productivity and accountability through achievement of goals that the organisation has set itself to attain (Saltmarshe *et al.* 2003: 455).

Norman (2002: 619) asserts that the concept of a performance management system is founded on the notion that "what gets measured gets managed". This means that if a manager has to monitor, control and manage individual employee performance, there has to be a system of measuring that performance.

Standards have to be set to benchmark a desired level of performance for an individual employee (Kingdom of Lesotho 2001c: 10). This sentiment is largely shared by Molefe

(2004: 90-91) who concludes that a performance management system is a comprehensive and a broad concept that includes "conducting performance appraisal, setting goals, communicating expectations, observing, documenting, giving feedback, helping employees to develop skills…managing performance within an agreed framework of planned goals, standards and attributes."

Hannagan (1996: 219) concludes that a performance management system incorporates the following components:

- A universally shared and agreed vision that incorporates the mission statement, goals and objectives that cascade to staff through performance management plans.
- Performance-related work targets for individual employees that are informed by the institutional objectives and goals.
- Standards and prescribed appraisal to keep an eye on progress made in relation to the attainment of objectives.
- The appraisal or "review" process is utilised by management to "identify training needs, career development and possible rewards".
- The effectiveness of a performance management system is gauged or measured through the performance indicators of the entire institution.

A performance management system offers the following important issues for the organisation according to Spangenberg (1994: 40):

- It facilitates the implementation of organisational goals and strategies.
- It acts as a driving force for creating participative culture.
- It provides vital information for human resources management decisions.

2.3 COMPONENTS OF A PERFORMANCE MANAGEMENT SYSTEM

A performance management system as a "system" is also made of different components or parts or subsystems that aim to achieve the common goal for the entire system (Spangenberg 1994: 14 & 32-33). The following should be components of any performance management system and they will be defined in the ensuing paragraphs:

- Performance.

- Management.

- System.

- Performance management.

- Performance appraisal.

- Performance planning.

- Performance standards.

- Performance indicators.

2.3.1 Performance

Performance is an action or a process of carrying out or accomplishing a task or a certain function according to Pearsall (2001:1060) and Dubnick (2005: 392). Wong and Snell (2003: 54) are more elaborate in arguing that task performance means the ability to effectively carry out the tasks outlined in the "job description" and recognised as part of the job and requiring the ability to use certain skills and knowledge. Jones and Dudgale (1995: 302) and Armstrong and Murlis (2001: 240) add that performance is the accomplishment of a responsibility "in accordance with predetermined procedures". This definition of performance is shared by Brignall and Modell (2000: 288) who posit that performance is "institutionally defined" in the sense that "institutional factors determine the interests pursued by the organisation". This argument is further elaborated by pointing out that performance is dependent on the views of different role players in the organisation and the dominant group's definition of performance is the one that holds. Therefore, performance "may be interpreted as a power struggle in which the emerging managerial elite is attempting to redefine organizational priorities in competition with the old professional elite" and this is solved by forming a consensus on the broad political objectives in the public sector organisations (Brignall and Modell 2000: 288-289).

Molefe (2004: 75) explains that performance is a function of knowledge, skill and motivation factors. Knowledge in this case refers to "knowing what to do", skill means the "ability" to carry out a certain job or a task and motivation relates to the "willingness" to accomplish a given task (Wright 2007: 54-55). Performance is a combination of these three factors according to Molefe (2004: 75) and Dubnick (2005: 392). Dubnick (2005:

393) and Serakwane (2005: 33) further argue that performance competencies, skills, experience and knowledge of the performer are fundamental in the definition of performance and can be the focus for the improvement of a performer. Mendonca and Kanungo (1990: 223) and Serakwane (2005: 38) agree that performance relates to an employee's observable behaviour and its results at work.

Jones (2006: 23) and Pappas *et al.* (2007: 164) advise that performance should not be measured in a narrow way that only takes into account the extent to which an employee reaches either a quantity requirement or satisfies some preconceived standard for effective behaviour (in role performance), but should also be viewed in a manner that should accommodate "spontaneous" and inventive behaviour in pursuit of the effectiveness of an institution. Brignall and Modell (2000: 289) entirely agree with this view and warn that in order for performance management to function properly the definition of performance should not be narrow in scope. Michie and West (2004: 94) provide two types of performance, namely, "task performance" and "contextual performance". They show that "task performance includes behaviours focused on the core technical activities involved in a job, while contextual performance refers to discretionary activities outside core job performance such as "participating in voluntary committees, cooperation with and helping co-workers or those in other departments, exerting effort over and above the basic job requirements…" (Michie and West 2004: 94). Wong and Snell (2003: 54) conclude that task performance's purpose is to produce goods and services or contribute towards production of either of the two, materials or services.

De Waal (2003: 688), Wholey (1999: 289), Den Hartog *et al.* (2004: 562) and Wong and Snell (2003: 55) conclude that performance is an outcome of organisational and human activities or relations. Performance cannot be explained without considering these two elements, organisation and human relationships (Moll 2003: 355). Moll (2003: 355) elaborates on this by pointing out that in order to measure performance it is vital that "outputs, outcomes, profit, internal processes and procedures, and employee attitudes" be taken into consideration. De Waal (2003: 688) calls viewing performance without

looking at both organisational and human activities a "mechanical approach" that has its origins in traditional management theories that exclude a human element in their analysis.

Dubnick (2005: 392) calls the "mechanical approach" view of performance a "Taylorist paradigm, which breaks any performance/job down to its basic component tasks…". It is concluded that performance can be defined in a number of ways by different people but for the Council of Aberdeenshire it means, "...how is an institution performing?" (The Aberdeenshire Council 2004: 4). This question is asked in order to continuously improve performance for ensuring accountability.

2.3.2 Management

Hughes (2003: 45) describes management as "taking things in hand", meaning to control with determination and competence and doing all these in a business-like manner. Turban and Meredith (1991: 4) define management as a method employed to attain certain aims through the use of resources (people, money, energy, materials, space and time). Du Toit *et al.* (1998: 172) contend that management is the activity that involves directing employee performance towards a specific objective in order to achieve desired results and to ensure realisation of productivity and quality provision of goods and services. Management can be an individual responsibility or a team responsibility. Coates (2004: 632) argues that management is a critical component for effective governance and public service delivery. There is no way the public sector can perform effectively and efficiently without sound management initiatives or strategies (Eliassen and Sitter 2008: 156). For Coates (2004: 632) and Layton (2002: 26) management is a broad concept that encapsulates issues such as financial management, human resources management, capital management and information technology management. Management is a catalyst for achievement of the organisational mission or purpose through effective use of resources (Minnaar and Bekker 2005: 94-96). Linking results to performance is a critical role of management and this relies on strong leadership and solid institutions (Eliassen and Sitter 2008: 153 and Coates 2004: 633).

David (2003: 129) provides the following analysis of management and its functions:

Table 2.1: The basic functions of management

Function	Description	Stage of strategic planning or management process
Planning	Planning comprise all management activities concerned with forecasting the future	*Strategy formulation*
Organising	Organising include all management activities that relate to structure of task, hierarchy and accountability issues. Deals with organisation design, job specialisation, job description, job specification, span of control, unity of command, coordination, job design and job analysis.	*Strategy implementation*
Motivating	Motivating is concerned with strategies to influence human behaviour at workplace. This involves issues of leadership, communication, delegation of authority, organisational change, employee morale and management morale.	*Strategy implementation*
Staffing	Staffing involves questions of personnel or human resource management. This encapsulates issues of wage and salary administration, employee benefits, interview, hiring, training, union relations, career development, discipline and grievances handling.	*Strategy implementation*
Controlling	Controlling deals with managerial activities that concern attainment of results or goals. These include quality control, financial control, sales control, inventory control, expenses control, rewards and sanctions	*Strategy implementation*

Source: Adapted from David (2003: 129)

2.3.3 Performance management

Performance management is "setting and measurement of desired outcomes and activities of an organisation- its individual components as well as its staff who contribute to the achievement of the strategic vision of the organisation. It is a multilevel process that starts with an overall strategy and cascades to individual performance management and appraisal" (The Johannesburg Metropolitan Council 2005: 313). Taylor *et al.* (2002: 669) add that in order for performance management to be effective all employees have to comprehend the vision, mission, goals and objectives of the organisation.

Sangweni (2003: 20) reveals that a number of commentators use the concepts of performance management and performance appraisal interchangeably. However, performance management is broader than performance appraisal (Den Hartog *et al.* 2004: 558; Parker 2006: 20-21; Cutler and Waine 2001: 69 and Sangweni 2003: 20).

Performance appraisal focuses on the evaluation and management of employees' behaviour and outcomes in the organisation, while performance management focuses on how the organisational members can be involved in the effective pursuit of organisational goals and mission (Sangweni 2003: 20; Den Hartog *et al.* 2004: 556-557 and Martinez 2000: 6). Whittington-Jones (2005: 10-11), Molefe (2004: 94), Layton (2002: 29) and Serakwane (2005: 36) are in agreement that performance management is a system that strives to amalgamate performance of an institution with that of its employees. In this way performance management seeks to link the mission and goals of the institution with the efforts of the employee in order to achieve desired outcomes (Serakwane 2005: 36; Layton 2002: 27 and Curtis 1999: 263). Therefore, the vision, mission, strategy and operational plans of the organisation are very crucial factors in performance management (Coates 2004: 631 and Molefe 2004: 94).

Different definitions are proposed by various authors on the concept of performance management (Systems Union 2006: 3). However, the underlying point is that performance management embodies methodologies, measurement, processes and systems that are utilised to monitor and manage the performance of an organisation through a combination of performance indicators, standards, targets, goals, corporate objectives and strategies (Pun and White 2005: 51 and Systems Union 2006: 3). Layton (2002: 27) concludes that performance management is "systematic [clear process and procedures], data-oriented approach [If you can't measure it you can't manage it] to managing people at work that relies on positive reinforcements [This means that the system is used in a positive, non-threatening manner] as the major way to maximise performance."

2.3.4 System

Pearsall (2001: 1453) defines a system as "a complex whole; a set of things working together as a mechanism or interconnected network…an organised scheme or method…." Boland and Fowler (2000: 417), Heywood (1997: 19) and Kuye *et al.* (2002: 147) maintain that a system is a unified set of elements that work or operate as a whole and are made of four components, namely: inputs, transformation process, outputs and feedback. In the public sphere, for example, the system operates in a given environment which

consists of some or all of the following factors; political, social, economic, technological, cultural, ethical, legal, demographical, global, physical and administrative factors (Forss 1985: 22-23; Coulter 2002: 81; Du Toit and Van der Waldt 1998: 41 and Turner and Hulme 1997: 14).

Du Toit *et al.* (2002: 21) complements the definition of a system by pointing out that it illustrates a sum total, complex and consistent entity that has "subsystems". When subsystems are added together they are equal to the whole or a system (Whitehead 1991: 12). Therefore, the whole (system) equals the sum of its parts and it has a greater effect than its elements on their own (Boland and Fowler 2000: 424). The elements of a system are interrelated; they interact and influence each other.

Heywood (1997: 200) and Napier and Gershenfeld (1993: 312) reveal that the system interacts with its environment in order to be able to sustain itself and reach a state of equilibrium or "*homeostasis*". Napier and Gershenfeld (1993: 297) describe a system as a combination of interwoven parts or units that operate in a spontaneous manner with a predetermined interaction over a specified period of time. Any change in the operation of the elements or parts of the system results in change of the whole system (OECD 2005: 2).

Ferreira *et al*. (2003: 26) demonstrate that a system in an institution offers the following:

- It enhances the efficient use of the institutional resources.
- It assists in managing the operating efficiency.
- It enhances development of operating efficiency.
- It assists in accomplishing the goals and aims of the organisation.
- It assists in executing different roles of the organisation.

The following paragraphs will deal with the concept of performance appraisal.

2.3.5 Performance appraisal

Performance appraisal will in this thesis be construed as an assessment of the quality of how an employee carries or accomplishes his/her tasks or functions. For Soltani *et al.*

(2005: 213), Pentland (2000: 22) and Selden *et al.* (2001: 605) performance appraisal is a formally agreed system to record and assess on a periodic basis the performance and behaviour of an individual employee. The performance assessment relates to the degree to which an employee is deviating from or coming close to the performance standards or performance expectations (Soltani *et al.* 2005: 213). A constant effort is made by management to assist or support the employee to achieve a better performance (Spicer and Ahmad 2006: 214). This leads one to the question of what an appraisal is. Appraisal is an evaluation or assessment of the quality, status and effectiveness of a job done by an employee (Spicer and Ahmad 2006: 214 and Pearsall 2001: 65). Pycraft *et al.* (1997: 49) argue that quality means "doing things right" and it forms an important part of performance assessment. Quality leads, amongst other things, to customer satisfaction (Pycraft *et al.* 1997: 47). Keim (2001: 588) highlights the importance of quality, in asserting that, poor quality in performance can lead to loss of customers and competitiveness. Therefore, appraisal relates to performance assessment and strongly emphasizes quality performance (Pycraft *et al.* 1997: 49). Taylor *et al*. (2002: 667) point out that to appraise means to ascribe "value" which is another word for quality. The idea of performance appraisal is to have performance contracts in order to review or monitor performance of the public servants (Kingdom of Lesotho 2005a: 22; Kernaghan 2001: 72; Selden *et al.* 2001: 605; Jones and Dudgale 1995: 302 and Torrington *et al.* 1998: 261). Au (2001: 5) and Torrington *et al*. (1998: 300) show that performance appraisal aims to monitor and guide performance of every employee in the public sector as well as assessing work progress with the view to establish any difficulties in order to seek ways of overcoming them.

Martinez (2000: 6) and Martinez and Martineau (2001: 2) point out that unlike a performance management system which is more holistic and broader, performance appraisal in the public sector focuses mainly on the behavioural matters and excludes detailed planning and management of work performance. This argument confirms the fact that performance appraisal is only a component of performance management (Taylor *et al*. 2002: 669).

Schermerhorn (1996: 295) and Spicer and Ahmad (2006: 215) succinctly conclude that performance appraisal is a process of formally assessing and recording performance and giving feedback on the latter. Brumback (2003: 170), Selden *et al.* (2001: 598) and Soltani *et al.* (2005: 214) explain that performance appraisal emphasizes rating of performance and also warns that the ratings are not always reliable as they get manipulated or misrepresented.

Cheminais *et al.* (1998a: 61) define performance appraisal by outlining some of its many uses. Performance appraisal is used to achieve the following:

- To create and maintain satisfactory levels of performance.
- To highlight needs and opportunities for the growth and development of employees.
- To encourage supervisors to observe behaviour of their subordinates;
- To enhance decision-making for promotions, transfers, layoffs, and discharges.
- To assist organisations to relate the size and frequency of pay increases to the ratings assigned to the employees in the process of performance appraisal.
- To ensure that the accuracy of predictions made in selections and promotions are determined by comparing or correlating performance ratings.

Another important concept to be dealt with is performance planning. Performance planning will be discussed in the next paragraph.

2.3.6 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: 105-106). A performance plan indicates time, task and resources required to accomplish the desired goals (Armstrong 1997: 46). 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 and Ireland *et al*.

2003: 424). 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 and this process is called objective responsibility (Gregory 2007: 339).

2.3.7 Performance standards

Minty (1992: 5) defines a standard as a yardstick or a benchmark that is used to measure progress. It allows one to verify if conformity to the plan is achieved. Therefore, performance standards are the scales that measure performance progress and attainment of organisational goals by an individual employee during performance of his/ her duties (Maddux 1987: 22; Legget 2004: 237; Tilbury 2006: 51 and Edis 1995: 101).

Artley and Stroh (2001: 39) and Martinez (2000: 13) argue that performance standards are synonymous with performance expectations because they depict the desired condition or a targeted level of performance for each objective or goal.

Performance standards relate to time, cost, quality and quantity (Kingdom of Lesotho 1995b: 13; Kingdom of Lesotho 2005g: 5 and Armstrong 1997: 57). It is possible that time can be the only standard that can be measurable under certain circumstances (Williams 1998: 74). However, where possible all the four components of a performance standard, namely: time, cost, quality and quantity, are expected to be met by public officials in their performance of duties (Ireland *et al.* 2003: 424). Artley and Stroh (2001: 39) define quality as the extent or degree to which a product or service meets customer requirements and expectations.

Performance standards answer the question of how the supervisor and the subordinate will know when the latter has met or even exceeded expectations for his/her position (Kingdom of Lesotho 2000d: 3). Therefore, performance standards are also crucial for staff motivation and recognition of a good performance (Schneider and Barsoux 2003: 162).

The following is a checklist and a test of whether performance standards are reliable and address critical aspects of performance management (Kingdom of Lesotho 2000d: 4):

- Are performance standards realistic? Standards must be achievable and be in line with the job description and strategic goals of the organisation.
- Are performance standards specific? Standards should be clear and precise so that their achievement can be easily detected.
- Are performance standards based on measurable data, observable or verifiable information? Performance can be measured in terms of time, cost, quantity and quality. Therefore, performance standards have to incorporate the means of verification.
- Are performance standards consistent with organisational goals and objectives? If performance standards are a way out of the objectives and goals of the organisation aspirations, then such standards are likely to inhibit accomplishment of the organisational needs.
- Are performance standards challenging? Performance standards may describe performance that exceeds expectations. Recognising performance that is above minimum expectation or that is outstanding is crucial for staff motivation. Therefore, performance standards have to challenge the supervisee to exert some significant effort towards achieving goals.
- Are performance standards clear and understandable? The supervisee whose work is to be evaluated on the basis of certain performance standards should comprehend them. Standards should use the language of the job.
- Are performance standards dynamic? As organisational goals, technologies, operations or experiences change, standards should evolve or be amenable to change.

Another important concept to be discussed in the ensuing paragraph is that of the performance indicators.

2.3.8 Performance indicators
Performance indicators provide the evidence that a certain task or an objective has been accomplished (Boland and Fowler 2000: 420; Rubienska and Bovaird 1999: 258 and

Williams 1998: 66). Performance indicators verify that a duty has been performed (Dale 1998: 144). They are a means of accountability on a given responsibility (Boland and Fowler 2000: 420; Smith 1995: 165 and Millar and McKevitt 2000: 295). Performance indicators are a crucial component of a corporate or a strategic plan according to Kloot (2001: 18) and Griffiths (2003: 70).

Boland and Fowler (2000: 420) and Behn (2003: 591) reckon that in many instances performance indicators are not easily distinguishable from performance measures, as many authors use them as "synonyms". Behn (2003: 589), Moll (2003: 357) and Boland and Fowler (2000: 420) concur that performance indicators or performance measures attempt to measure or quantify performance results or outcomes. They also agree that the measurement of outcomes or performance results is a difficult task. That is why performance indicators or performance measures are a reliable and sometimes the only available means (Behn 2003: 589 and Boland and Fowler 2000: 420).

According to Artley and Stroh (2001: 39) performance indicators mean the following:
- A particular value or characteristic used to measure output or outcomes.
- A parameter useful for determining the degree to which an organisation has achieved its goals.
- A quantifiable expression used to observe and track the status of a process.
- The operational information that is indicative of the performance or condition of a facility, group of facilities or site.

Williams (1998: 66) further indicates that performance indicators measure an outcome, and an output. These two concepts (outcome and output) will be discussed in detail in the following chapter. The following paragraph will provide the characteristics of performance indicators.

2.3.8.1 Characteristics of performance indicators
Performance indicators have the following characteristics according to Williams (1998: 66):

- Performance indicators measure contribution to the accomplishment of strategic objectives.
- Performance indicators measure quality.
- Performance indicators measure quantity and volume of work done.
- Performance indicators measure efficiency and value for money.

The following paragraph will deal with the benefits that can be associated with performance indicators

2.3.8.2 Benefits of performance indicators

Smith (1995: 169) identifies the following benefits of performance indicators:

- Performance indicators spell out the objectives of an institution to employees.
- Performance indicators create an agreed plan of action to be followed by an institution and its employees.
- Performance indicators enable the employees to better comprehend the mandate of the organisation.
- Performance indicators encourage accountability of the organisation to its stakeholders by putting checks on the performance of managers, supervisors and workers.

Other important concepts that need to be explained as a result of their strong linkage to the concept of the performance management system are effectiveness and efficiency. These are the subject of the following paragraphs.

2.3.9 Effectiveness

Effectiveness is the extent to which goals and objectives have been attained (Covey 1998: 169). If a task was accomplished but the costs for achieving it are excessive this means effectiveness was attained even though this was through the expensive route (Anthony and Govindarajan 2003: 150). Effectiveness is concerned with generating outputs (Bain 1982: 41; Fenwick 1995: 113 and Hilliard and Kemp 1999: 360-361).

Barg *et al.* (2006: 7) argue that effectiveness means the success of the organisation in realising its goals and objectives. Mafunisa (1999: 240) further adds that an effective

public service organisation is the one that attains its objectives and provides quality services. This means that effectiveness as far as public sector is concerned relates to achievement of specific needs and demands of the public or citizens (Griffiths 2006: 313). Du Toit *et al.* (1998: 115) claim that the extent to which management of the organisation is effective can be measured. This can be done by giving a manager a set of objectives to pursue and at the end take stock of how many of the set objectives have been met (Du Toit *et al.* 1998: 115). Effectiveness has its contrast which is efficiency (Karlöf 1993:11).

2.3.10 Efficiency

Efficiency is the ratio of actual output attained to the standard of output expected (Pauw *et al.* 2002: 139). Efficiency is doing things right while effectiveness means doing right things (Karlöf 1993:11). A job can be done effectively without necessarily being done efficiently. Efficiency means how well the task has been accomplished (Anthony and Govindarajan 2003: 150). Efficiency is concerned with reducing the costs of production by producing the outputs with the minimum essential amount of the inputs (Barg *et al.* 2006: 7). Cheminais *et al.* (1998a: 11) and Du Toit and Van der Waldt (1998: 100) indicate that efficiency concerns the requirement to "optimally" use the inputs or resources in order to give "maximum" outputs in the "form" of services and goods rendered to society.

It is necessary at this point to deal with the concept of accountability. This is a concept that apart from being a subject of this thesis also has a very direct link with the concept of the performance management system (Wholey 1999: 288). This link will be shown in the following paragraphs.

2.4 ACCOUNTABILITY

Accountability is defined as being answerable to the public or authorities on the use of resources either financial or material (Kingdom of Lesotho 2005b: 3; Maimela 1999: 228 and Cloete 1996: 19). Boyne *et al.* (2002: 692-693) argue that accountability is based on the "relationship between those who delegate responsibility (principal) and those who are

entrusted to perform the delegated function (steward)". The "steward" must account for the delegated responsibilities (Boyne *et al.* 2002: 692-693; Bouckaert and Halligan 2008: 162 and Lupson 2007: 29). Reporting on responsibilities given to a public sector employee to ensure accomplishment of certain functions, tasks, objectives or programmes also equals accountability (Pauw *et al.* 2002: 136; Jones and Dudgale 1995: 299 and Kuye *et al.* 2002: 121). Turner and Hulme (1997: 122) add that accountability is "the driving force that generates the pressure for key actors to be involved and to be responsible…and to ensure good public service performance."

Thompson (2002:58) and Lupson (2007: 26) point out that accountability is based on the well set out standards of achievement. These standards assist to prevent deviations from the ultimate objectives and goals of the organisation. Deviations have to be explained or be accounted for (Brinkerhoff and Brinkerhoff 2002: 300 and Edwards and Hulme 1998: 9). As a result, Jones and Dudgale (1995: 300-301) observe that accountability is an inherent part of the modern society organisation as read in Max Weber theories of bureaucracy. Max Weber had long ago realised that in modern society organisations, institutional resources are distinct from personal resources (Farazmand 2002: 128 and Jones and Dudgale 1995: 300-301).   Use of public resources has to be accounted for (Aucoin and Heintzman 2000: 45).

For Van der Waldt *et al.* (2002: 265), Johnston (1999: 387) and Turner and Hume (1997: 122) accountability means observing the rules, regulations, orders and instructions by public officials. The extent to which public servants have adhered to legal requirements on their duties, responsibilities and actions shows their level of accountability (Brinkerhoff 2002: 305; Kloot 2001: 18 and Africa 1994: 1). Managers show accountability if their performance on the use of resources allocated to them is efficient, effective, economical and transparent (Romzek 2000: 23-28; Matsheza and Kunaka 1999: 24; Farah 1999: 309; Carter *et al.* 1992: 30-31 and Dawson 1998: 347). The World Bank (2007: 9) emphasise that in order for accountability to be institutionalised the "drivers of accountability" have to be in place. This assertion is diagrammatically presented as follows:

Figure 2.1: Drivers of Accountability
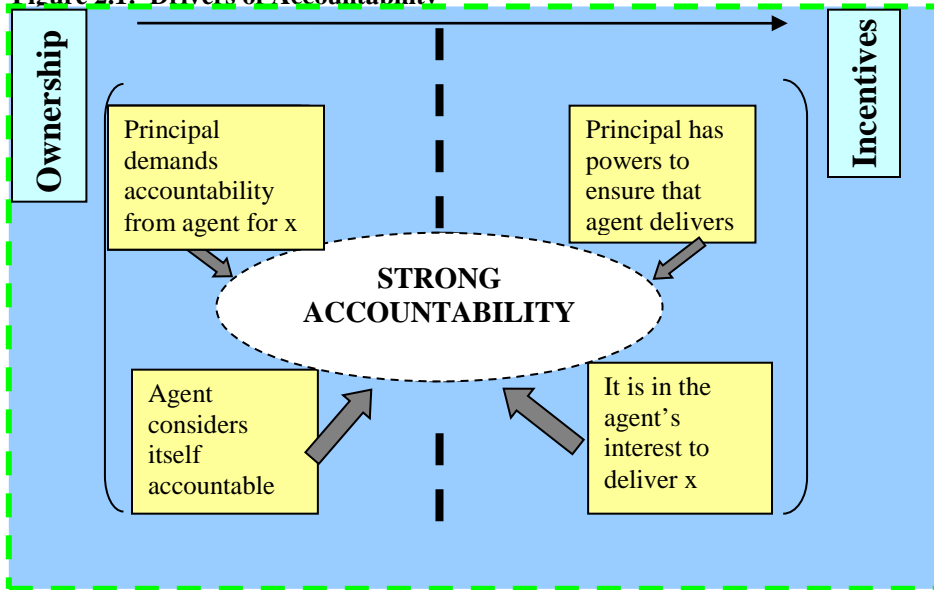
Source: World Bank (2007: 9)

In defining the drivers of accountability, World Bank (2007: 8) provides the following analysis:

- **Ownership:** Accountability requires the agent to consider itself responsible and willing to carry out tasks. Meanwhile, the principal needs to be interested in the tasks and demand that the agent carries them out.

- **Incentives:** The principal needs to have adequate powers to ensure that the agent carries out the tasks, or at least to make it in the interest of the agent to do so. Incentive mechanisms, including rewards and sanctions, are therefore crucial for ensuring delivery.

British Colombia (2002: 3) agrees that accountability is "an obligation to demonstrate and take responsibility for performance in the light of agreed-to expectations. It is a formal relationship that comes into being when a responsibility is conferred and accepted. Accountability carries with it the obligation to report on the discharge of one's responsibilities". The following are the requirements of accountability according to British Colombia (2002: 3-4) and Dubnick (2005: 380):

- An employee has to be clear of his or her responsibilities and what is expected of him or her.

- An employee has to act and make decisions that are intended to result in good performance.
- An employee has to ensure that he or she exercises due diligence and makes decisions that lead to performance that is consistent with the expectations.
- An employee has to address unintended negative impacts and take steps to remedy poor performance.

Khanyile (1998: 76-77) quotes a philosopher named James Madison when defining accountability. Madison once observed that "[I]f angels were to govern men, neither external nor internal controls of government would be necessary". This means that because people in authority are prone to abusing trust, power or resources in their care or custody there is a need for checks and balances. Khanyile (1998: 77), Farrell and Law (1999: 295), Boyne *et al.* (2002: 693), Johnston (1999: 388) and Oluwu (1999: 13) indicate that there are three types of accountability namely;

    (a) Fiscal accountability.

    (b) Programme accountability.

    (c) Process or professional accountability.

(a) **Fiscal accountability:** This type of accountability is concerned with control of financial resources or money of an institution or an organisation. Public officials have to report, or even better, explain their expenditure to parliament, immediate supervisors or members of the public. It involves use of auditors to ensure proper utilisation of fiscal resources of government and to ensure that such resources are used in accordance with planned expenditure or an approved budget.

(b) **Programme accountability:** This type of accountability is interested in measuring the results that government has planned to achieve through a specific programme. The issues of efficiency and effectiveness are fundamental in this kind of accountability. Programme accountability is said to be goal-oriented or result-oriented as well as focusing on quality of the programme more than quantity.

(c) **Process or professional accountability:** This is the kind of accountability that makes up for deficiencies found in the second type of accountability (programme accountability). Process or professional accountability underlines the importance of procedures and methods of operations. The basic question in this type of accountability is not only whether certain results have been achieved, but also whether professional standards of honesty and ethics have been maintained. Therefore, to be accountable in this scenario means to be able to explain, justify and answer for performance on a given task on the basis of an outlined yardstick which is either a professional code of conduct or prescribed methods and procedures (Farrell and Law 1999: 295; Boyne *et al.* 2002: 693; Johnston 1999: 388; Khanyile 1998: 77 and Oluwu 1999: 13).

Roberts (2002: 658) and Lupson (2007: 21-26) further divide accountability into the following important categories:

- **Bureaucratic accountability:** This is accountability that is based on organisational hierarchical setup of supervision, rules and procedures of the organisation.
- **Legal accountability:** This is the type of accountability that is based on the professional guidelines, ethics and procedures that are expert-oriented.
- **Political accountability:** This is the type of accountability that emanates from political directives, client or customer needs fulfilment.
- **Direction-based accountability:** This type of accountability is based on ensuring that organisational goals or objectives reflect the aspirations of the political masters and constitutional dictates.
- **Performance-based accountability:** This type of accountability is based on the shift in the organisation and individual performance that requires setting a level of output and outcomes and aligning them to organisational goals and ensuring that they meet management expectations.
- **Procedure-based accountability:** This is the type of accountability that is based on laws and rules that have been set to guide conduct of employees and management of the organisation to meet its goals and objectives.

Turner and Hulme (1997: 124), Brinkerhoff (2002: 298) and Dawson (1998: 348) suggest tools that can be used to enhance accountability in the public sphere in the following table:

Table 2.2: Tools for enhancing accountability in the public sector

Ends	Means
To facilitate/ enhance	*Tools*
Legitimacy of decision-makers	Constitution; electoral systems for governments and decision making bodies; bureaucratic systems of representation; legislation; letters of appointment; formal delegation of authority; standing orders.
Moral conduct	Societal values; concepts of social justice and public interests; professional values; training/ induction programs.
Responsiveness	Public participation and consultation; debates; advisory bodies; public meetings; freedom of speech.
Openness	Parliamentary question times; public information services; freedom of information laws; public hearings; green and white papers; annual reports.
Optimal resource utilisation	***Budgets;*** financial procedures; rules of virement; parliamentary public account committees; auditing; public enquiries; ***formal planning systems.***
Improving efficiency	Information systems; value for money audits; ***setting objectives*** and ***standards;*** program guidelines; ***appraisal; feedback*** from public.

Source: Adapted from Turner and Hulme (1997: 124); Brinkerhoff (2002: 298) and Dawson (1998: 348).

The following paragraphs will demonstrate the relationship between a performance management system and accountability.

2.5 RELATIONSHIP BETWEEN A PERFORMANCE MANAGEMENT SYSTEM AND ACCOUNTABILITY

Norman (2002: 260), Griffiths (2003:71) and Ncholo (2000: 95) claim that the performance management system enhances accountability because performance of public officers becomes "visible and explicit" to other people, namely the public, supervisors and management of the organisation. This performance can be easily monitored and the public officers can account for non-performance or for performance not adhering to established standards or norms of the organisation (Sanderson 2001: 298-303; Wholey

1999: 292; Grizzle and Pettijohn 2002: 54; Coplin *et al.* 2002: 699; Lonti and Gregory 2007: 468; Boland and Fowler 2000: 418 and Brumback 2003: 167).

Layton (2002: 30), Whittington-Jones (2005: 11) and Barg *et al.* (2006: 18) perceive that in order for a performance management system to be effective, individual members of the organisation should be given clear targets or "accountabilities" for their performance. This is because only the organisational members can be compelled to account or be held accountable as opposed to the organisation which cannot achieve objectives without the intervention of the human beings (Layton 2002: 30 and Michie and West 2004: 91). Tooley and Guthrie (2007: 351) argue that those who have been entrusted with the authority to make decisions on behalf of others have to be accountable on how they exercise that authority and power vested in them. Boyne *et al.* (2002: 691) and Wholey (1999: 288) point out that information that is given on performance is a crucial means of accountability. Williams (2001: 59) adds that "increasing stress on accountability for outcomes… has led agencies progressively to be more conscious of the need for information to assess performance."

Sangweni (2003: 23) and Tilbury (2006: 49) contend that a performance management system assists in enhancing accountability, especially with regard to the use of the public financial resources and public service delivery. Tilbury (2006: 49) further shows that apart from "financial accountability" a performance management system also enhances "management accountability" through utilisation of, amongst others, performance appraisal. This view is shared by Republic of South Africa (2005: 33) and Pun and White (2005: 51) in highlighting that the most fundamental means to achieve accountability is through effective adoption and employment of a performance management system. A performance management system constitutes an assessment of whether the established standards have been met or not, and as a result accountability is established (Sanderson 2001: 298; Wholey 1999: 292 and Tooley and Guthrie 2007: 367). The "steward is obliged, as part of the relationship with the principal" to give account on performance (Boyne *et al.* 2002: 693). Millar and McKevitt (2000: 287) succinctly conclude that to be accountable, "means to take ownership of performance".

Tooley and Guthrie (2007: 352) add that accountability refers to the need for the office bearer to "give account" of his/her performance or actions. According to Barrados *et al.* (2000: 497) this kind of accountability is called "accomplishment accountability."

Matsheza and Kunaka (2001: 18) show that "accountability requires…target focused performance reviews…." All these arguments converge on one idea that performance management enhances accountability (Lonti and Gregory 2007: 46 and Blaauw 2000: 18). This sentiment, to a large extent, is shared by Sangweni and Balia (1999: 140-141) who argue that performance management can assist to eradicate corruption in the public sector, and as a result, increase or enhance accountability. Behn (2003: 587) and Wholey (1999: 288) add that a performance management system or performance information can be used to influence resource allocation decisions, improve legislative oversight, and enhance accountability to citizens and other stakeholders. Tooley and Guthrie (2007: 353) conclude that public accountability is the requirement that a detailed report about status, performance, activities and progress be given to all the stakeholders or those affected socially, economically or politically by a decision or an action of someone who has been tasked to make such a decision or take such an action.

2.6 CONCLUSION

This chapter has defined the concepts of a performance management system and its components as a system, accountability, effectiveness and efficiency. It has been established that accountability is also a broad concept that has different contexts. The extent to which accountability and a performance management system link or relate has been outlined in this chapter. The importance and benefits of both performance indicators and standards in the context of a performance management system has been shown. A conclusion can, therefore, be drawn that a performance management system is a broad concept that has a number of segments and depends on, or relates to, other crucial components as its anchors. The notion of drivers of accountability as a means of institutionalising performance in an organisation, and as a way of depicting the relationship between a performance management system and accountability has been

explained. This notion has also confirmed the link between a performance management system and accountability.

CHAPTER THREE
INTEGRATED PERFORMANCE MANAGEMENT

3.1 INTRODUCTION

This chapter deals with the inherent linkages between the performance management system, strategic planning and the budget, all of these under the theme of integrated performance management. Definitions and discussions of the following concepts, which are central elements of integrated performance management, are made:

- Integrated performance management.
- Strategic planning.
- Strategy.
- Planning.
- Goals.
- Objectives.
- Budget.
- Performance budgeting.
- Inputs.
- Outputs.
- Outcomes.

The linkages and the relationship between strategic planning, budget and integrated performance management are outlined. The use and purpose of integrated performances management by public sector in both developing and developed countries are shown.

3.2 INTEGRATED PERFORMANCE MANAGEMENT

Integrated performance management refers to an alignment of a strategic plan and a budget to a performance management system of an organisation (Artley and Stroh 2001: 11-12 and Phatshwe and Pakes 2007: 35-36). Verweire (2003:4) points out that integrated performance management is a "process that helps an organisation to formulate, implement and change its strategy in order to satisfy its stakeholders' needs". Verweire (2003: 5) further asserts that integrated performance management strives to ensure the alignment of the corporate strategy to organisational resources and processes. In this way

operational and management processes are aligned to key performance indicators and this culminates in the achievement of the organisational plans and goals (Pun and White 2005: 67). Barett (2007: 7) argues that in essence integrated performance management demands that performance management initiatives should be linked to a budget or "financial forecasts" and strategic plans. Integrated performance management involves exploitation of synergies between strategic planning, budgeting and performance reporting. This exploitation is dependent on the following critical factors (Business Objects 2005: 6):

- Developing a culture of accountability and transparency.
- Thorough communication of the mission, vision and plan.
- Involving the right people and championing the concept at the senior level.
- Architecting the appropriating Information Systems infrastructure.

Moodley (2003: 28) contends that integrated performance management should be practiced 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". Selden *et al.* (2001: 605) point out that alignment of individual objectives leads to "ownership" of organisational goals and this is the essence of integrated performance management. Stringer (2007: 93-94) points out that an integrated performance management refers to an amalgamation of the following "performance elements" or "performance issues":

- Objectives.
- Strategies.
- Targets.
- Rewards.
- Information flows.
- Budgets.
- Transfer pricing.
- Capital expenditure.
- Performance evaluation.

Stringer (2007:94) argues on the above list 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). Integrated performance management grapples with the following questions according to Stringer (2007: 93):

- What are the key objectives that are central to the organisation's overall future success, and how does it go about evaluating its achievement for each of these objectives?

- What strategies and plans has the organisation adopted and what are the processes and activities that it has decided will be required for it to successfully implement these? How does it assess and measure the performance of these activities?

- What level of performance does the organisation need to achieve in each of the areas defined in the above two questions, and how does it go about setting appropriate performance targets for them?

- What rewards will managers (and other employees) gain by achieving these performance targets (or, conversely, what penalties will they suffer by failing to achieve them)?

- What are the information flows (feedback and feed-forward loops) that are necessary to enable the organization to learn from its experience, and to adapt its current behaviour in the light of that experience?

The above questions are crucial for integrated performance management of the organisational activities and for the attainment of the mission and vision that the organisation is pursuing. Dusenbury (2000: 7) concludes that an integrated performance management model does not only improve management but is also an excellent basis for the implementation of sound results-oriented budgeting, contracting and human resources management. It is, therefore, advisable for a public institution that aspires to improve its performance to employ integrated performance management. The synergy that is experienced when strategic planning is combined and used with performance

management and budget shows that "…the whole is greater than the sum of its parts because each process reinforces and strengthens the other" (Dusenbury 2000: 7).

3.3 STRATEGIC PLANNING

Van der Waldt *et al.* (2002: 237-238) define strategic planning as "…the art of or science of planning and conduct of war." However, relating this to the public sector, strategic planning means "the art of, or science" of approaching certain problems that beset the public sector in order to overcome them. 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 (Dusenbury 2000: 1). Such plans, especially if they are made public, are instrumental in strengthening accountability (Van der Waldt *et al*. 2002: 32).

Kloot (2001: 18), Beaton (1997: 2) agree with Hunger and Wheelen (2003: 4) that strategic planning is the process of setting common goals, purposes, values and objectives for the organisation. Strategic planning is all about turning goals and values into plans and policies for the organisation. Strategic planning is also the process of analysing and evaluating the capabilities of the organisation against the threats and opportunities of the environment that impact on the organisation to ensure that goals are achieved (Rugmann and Hodgetts 2003: 216). "…strategic planning … [aims]…to articulate a realistic vision of the future to be embraced by all people in the …[organisation]…; to engender a *common sense of mission* to drive strategic *performance*; to create (an) internal responsive mechanism that manages emerging challenges and influence (sic) development of a corporate culture that supports *continuous productivity* and *quality improvement* on the *delivery of services*" [Emphasis added] (Kingdom of Lesotho 2004b: 2-3). This explanation goes beyond a mere definition of strategic plan by providing even the purpose and contents of the process of strategic planning.

Greer and Hoggett (1999: 237) as well as Rugmann and Hodgetts (2003: 220-222) summarise the definition of strategic planning by pointing out that strategic planning is concerned with issues of finding a niche or a suitable place for the organisation to

compete effectively against adversary or competing organisations. This is a defensive view of strategic planning that is based on the notion that organisations have to accomplish their goals by eliminating competition or counteracting their competitors (Swanepoel *et al.* 2003: 171).

The following are the advantages of strategic planning as stated by Smit (2002: 35-36):

- Strategic planning makes it easy to discover and take advantage of the future opportunities.

- Strategic planning provides an objective analysis of problems besetting management of an institution.

- Strategic planning provides a basis for the review of plan implementation and management of activities.

- Strategic planning curtails the impact of negative forces, conditions and changes.

- Strategic planning enhances decisions-making as it ensures that decisions whether on small or major issues are in line with the established objectives.

- Strategic planning ensures that requisite time and resources are allocated to pursue clearly established opportunities. There is no "shooting in the dark" as everything to be accomplished is well documented.

- Strategic planning creates a platform for improved internal communication amongst all levels of employees in the organisation.

- Strategic planning permits reprioritisation of objectives within the time-frame of the plan.

- Strategic planning enables assimilation of individual behaviours in the organisation into a common effort.

- Strategic planning provides a vital basis for proper distribution of responsibilities to employees and motivation of staff.

- Strategic planning enables employees to think into the future and this increases opportunities for innovative ideas by individual members of staff.

- Strategic planning encourages a supportive, "integrated" and passionate approach to tackling problems and taking opportunities by employees of the organisation.

3.3.1 Strategy

Strategy is a word that originates from the "art of war; the management of an army or armies in a campaign, the art of moving troops, aircraft…into favourable positions, a plan of action in business or politics" (Greer and Hoggett 1999: 237). Jenkins and Ambrosini (2002: 154) point out that the concept of strategy as a military idea applied in "sixth-century BC Athens, where the *strategos*" was a person elected to fight a campaign and control all forces." "*Strategia*" refers to an army general according to Swanepoel *et al.* (2003:167).

The above views relate a strategy to art of winning war and in the public and private sector context this war is about winning in the provision of best goods and services. Strategy formulation includes the development and evaluation of alternative ways of achieving predetermined objectives and the selection of the most appropriate methods in a prevailing environment. It is a means to achieving goals (Beaton 1997: 3). For Hunger and Wheelen (2003: 7), a strategy is a plan of how an organisation will attain its "mission and objectives by maximising its competitive advantage and minimising its competitive disadvantage." Coulter (2002: 7) and Dessler (2003: 6) view a strategy as a series of objective-focused pronouncements, conclusions and activities that are in line with the available or potential skills, resources, opportunities and environment of the organisation. These relate to what an organisation wants to achieve and how it will achieve it. Barney and Arikan (2001: 140) present a market-oriented definition of a strategy by stating that a strategy is the "theory" used by the organisation to have a better-quality "performance in the market" that it is competing in. Figure 3.1 below sufficiently depicts an analogy of the concept of a strategy:

Figure 3.1: A strategy as a link between the organisation and its environment

THE ORGANISATION		THE COMPETITORS
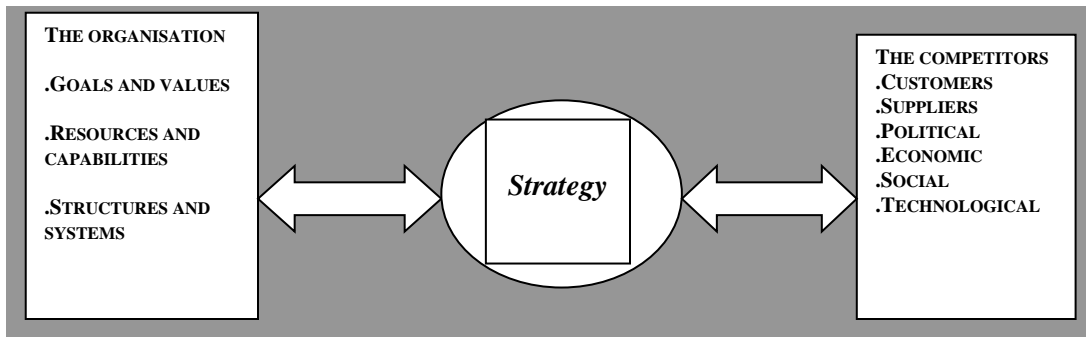
Source: Adapted from Barney and Arikan (2001: 140)

The left box in the above diagram shows the organisation's capabilities while the right-hand box shows the environment in which the organisation exists. To establish the right balance between what the organisation has vis-à-vis challenges of its environment, the organisation has to adopt strategies that are sensitive to such challenges. Therefore, a strategy depicted as an oblong shape in the diagram provides the link between the capabilities and the environment of the organisation.

3.3.2 Planning

Turner and Hulme (1997: 132) define planning as "…an organised, conscious and continuous attempt to select the best available alternatives to achieve specific goals."

Craythorne (1997: 401) and Du Toit *et al.* (1998: 78) argue that planning means forward looking, preparing for future challenges by observing current trends to set a clear future "course of action". Planning consists of the following phases according to Craythorne (1997: 401) and Du Toit *et al.* (1998: 78):

- **Research and intelligence by enquiring into the past and present events:** This means looking into what is currently taking place within and outside the organisation.

- **Projecting future phenomenon and circumstances outside one's own instant control:** This means barriers or threats have to be identified so as to reduce their impact.

- **Developing necessary steps to be taken by oneself or under one's own direct control:** This involves setting objectives.
- **Predicting the result of any action taken during planning:** This involves forecasting into the future.

Van der Waldt and Du Toit (1999: 182) state that planning is a mechanism to establish future conditions and finding the means to attain desired future. This involves a selection of choices or different ways and means that will at best make the desired objectives reachable. Planning permeates all structures in an organisation. It involves low and high ranking officials (Du Toit *et al.* 2002: 84 and Van der Waldt and Du Toit 1999:182).

The following are the advantages of planning as extracted from Van der Waldt and Du Toit (1999: 184) as well as Du Toit *et al.* (1998: 178):

- Planning encourages collaboration between various departments and individuals in an organisation. When objectives are clear and appropriate plans are put in place, responsibilities and resources can be distributed so that everyone can meaningfully contribute to the realisation of the objectives. The grey areas are eliminated.
- Planning compels management to be forward thinking. This gets rid of emergency management, since management has to foresee threats in the environment and take necessary steps in good time to prevent them. This increases the chances of predicting the future.
- The increased intricacy of public institutions and interdependency of the different functional management areas, such as financing, where decisions cannot be made in seclusion, stresses the inevitability of planning.
- Planning assists the organisation to acclimatise itself to the changing environment.

Dawson (1998: 324) provides a clear picture of the planning process or the so-called planning cycle in Figure 3.2 below:

Figure 3.2: Planning process or cycle
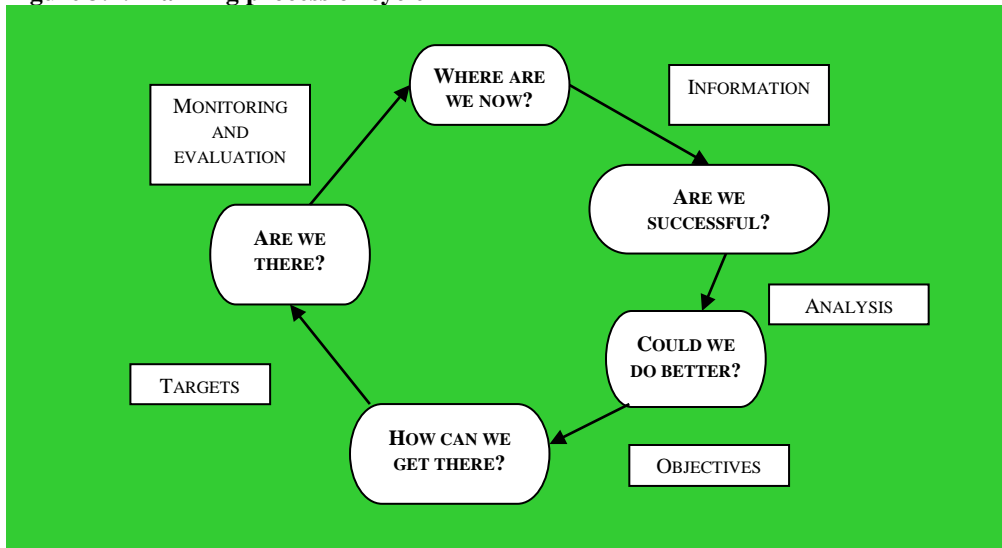
Source: Adapted from Dawson (1998: 324).

For Dawson (1998: 324) proper planning involves gathering information about the organisation and its environment, analysing that information, setting objectives and targets or milestones to be achieved and, lastly, monitoring and evaluating the success of the whole process. The cycle continues endlessly because circumstances and environments are not static, changes occur from time to time.

3.3.3 Goals and objectives

Goals and objectives are concepts that permeate this research and therefore need to be defined for proper comprehension and their context in this thesis needs to be established. Moreover, goals and objectives are crucial components of a strategic plan (Kloot 2001: 18). Even though the two concepts are used interchangeably by most authors, a distinction will be made in the following paragraphs (Doyle 2001: 375 and Bain 1982: 143).

3.3.3.1 Goals

Craythorne (1997:402) describes a goal as a "hoped-for-ideal", which may not be achieved in the exact manner or form it has been presented. A goal exists as the highest guiding principle within the project and preoccupies all efforts towards achieving the mandate of such a project (Kingdom of Lesotho 1995c: 94). Bain (1982: 158) argues that

goals assist to "…fuse together all human resources for achievement of unprecedented levels of productivity, quality and profitability". Roux and Van Rooyen (2002: 223) conclude that a goal is "…an unrealized state not yet achieved by the members of the organisation but which they regard as desirable". Rogers (2006: 12) asserts that in institutions where goals are set and reviewed on a regular basis the workers are accountable for their individual performance, and as a result their output increases significantly. This is not the case in organisations that do not have or do not review or measure their goals. It can be inferred, therefore, that a goal is a broad anticipated idea that an organisation desires to realise. It is an ideal state an organisation wishes to find itself in. A goal is followed by an objective in the hierarchy of strategic planning and the latter will be discussed in the following paragraph.

3.3.3.2 Objectives

An objective is a realistic declaration of a desired situation (Craythorne 1997: 402 and Van der Waldt *et al.* 2002: 248). Roux and Van Rooyen (2002: 223) posit that an objective is a "…short-term goal that can be deduced from an organisation's mission and that can be stated by means of process of negotiation". Unlike goals, objectives are specific, unambiguous or not vague, time-bound, measurable and realistic (Artley and Stroh 2001: 38; Beaton 1997: 27 and Craythorne 1997: 402). Gann (1996: 45) and Lynch (2003: 435) reveal that objectives need to be based on the business, purpose or mandate of the organisation and they need to clearly cover all aspects of the organisation with clarity. Objectives have to be subject to monitoring and evaluation (Fox and Uys 2002: 226 and Ireland *et al.* 2003: 424). Morden (1999: 3) concludes that objectives "…specify or quantify targets towards which effort, investment and willpower are directed."

3.4 BUDGET

Williams (1998: 74) defines a budget as a "spending limit for an individual, project, department or an organisation." A budget has to be drawn to address issues that have financial implications during implementation of a programme (Pauw *et al.* 2002: 60; United States Government Accountability Office (GAO) 2005: ii and Erasmus and Visser 2000: 162). These may include purchase of new vehicles, recruitment of additional staff,

and the introduction of new salaries, installation of new management information systems in the form of computers and their software, and procurement of other new products (Morden 1999: 6-7). Shabalala (2005: 12) opines that a budget is "a plan quantified in monetary terms, prepared and approved prior to a defined period of time, usually showing planned income to be generated and /or expenditure to be incurred during that period and the capital to be employed to attain given objectives."

Moll (2003: 50) argues that a budget in the public sector can be perceived as a means of allocating monetary resources through a political process in order to address various needs of the members of the public or citizens. The issue of a budget as a political process in the public sector is echoed by Melkers and Willoughby (2001: 55) who show that the introduction of performance budgeting in the United States of America has tried to bring objectivity and economic rationality into a budget process which was a "highly political process" for many years.

Budgets have the following essentials according to GAO (2005: ii), McNab and Melese (2003: 76) and Kingdom of Lesotho (1995b: 106):
- A budget is a plan for allocating resources. A proper budget strives to fund each planned activity or task at the right level.
- A budget is one of very important control mechanisms in ensuring that there is a balance between the volume of work performed, the time and money spent.
- Budgets are strongly linked to performance, achievement and work done within a planned time frame.
- A budget is the project plan in financial or "pecuniary" terms.

Burger (1997: 77) remarks that, amongst other important functions of the budget, it is also a vital "control instrument for both initial '*a priori*' and '*ex post facto*' control- that is control exercised after the act has taken place". This sentiment is echoed emphatically by Moll (2003: 50), Eedle (2007: 25) and Prowle (2000: 84) in arguing that the budget reveals the financial resources expended vis-à-vis the objectives, goals and programmes to be achieved. This leads to the budget as a vital tool for accountability (Moll 2003: 50

and McNab and Melese 2003: 77). Cohen and Eimicke (2002: 68) and Lekalakala (2006: 33) show that a budget works as a means of control and it aims to achieve the following points:

- Obtain resources.

- Distribute resources amongst organisation departments.

- Track spending to ensure that resource allocation decisions are honoured.

Ho and Ni (2005: 64) conclude that a "…good budget process incorporates a long-term perspective, establishes linkages to broad organizational goals, focuses budget decisions on results and outcomes,…The budget process is not simply an exercise in balancing revenues and expenditures one year at a time, but is strategic in nature, encompassing a multi-year financial and operating plan that allocates resources on the basis of identified goals". One process of budgeting that relates to performance management is called performance budgeting and it is a subject of the following paragraph.

3.4.1 Performance budgeting

Performance budgeting is defined by Coates (2004: 631) as a "…budget preparation and adoption process that emphasises performance management, allowing allocations decisions to be made …on [the basis of]… efficiency and effectiveness of service delivery". Behn (2003: 590) and Diamond (2005: ii) resonate this sentiment in pointing out that performance information can be used to allocate resources in a most cost-effective manner.

In the governance sphere, performance budgeting can be used to translate political objectives or "macro political priorities" of the elected government into decisions that will be carried out by the public servants and these require the allocation of resources (Behn 2003: 590). Performance budgeting means incorporating historical information on the organisational performance in a fiscal year's budget, or drawing budgets that address "…specific or explicit performance purposes or targets" (Behn 2003: 590). Melkers and Willoughby (2001: 54) emphasise that performance budgeting requires strategic planning with its mission, goals and objectives to provide "quantifiable data" for measuring

progress. Berry *et al.* (2000: 345) add that with the advent of a performance budget, the time of treating strategic plans as separate entities from budgets became a thing of the past. The two are integrated and are used complementarily. Ferradino (2002: 6) opines that performance budgeting strives to inculcate fiscal austerity and accountability by emphasising that "each taxpayer dollar" has a clear and justifiable spending purpose. Performance budgeting may also mean allocating additional resources to a department that performs well and cutting or reducing the resources of the department that does not perform well (Boland and Fowler 2000: 421 and Curristine 2005: 103).

Diamond (2005: 8) points out that "performance budgeting is a term that often refers to both output and outcome focused budget systems". Curristine (2005: 88), Ho and Ni (2005: 61-63), O'Toole and Stipak (2002: 192) and Diamond (2005: 9) agree that most countries have shifted the budget focus from inputs to results manifested by outputs or outcomes. However, in the past decades outputs were the sole measure of budget performance. In the recent years governments and other organisations have shifted to use of outcomes to measure budget performance (McNab and Melese 2003: 76). This shift is meant to enhance accountability in performance of public institutions and to account on the efficiency and effectiveness in the use of public resources (Curristine 2005: 88 and Marshall and Davies 2000: 310).

3.4.2 Classifications of performance budgeting

Curristine (2005: 102-103) asserts that performance budgeting can be classified or divided into three categories, namely:

- Presentational performance budgeting.
- Informed or indirect linkage performance budgeting.
- Direct linkage performance budgeting.

3.4.2.1 Presentational performance budgeting

This type of performance budgeting merely presents performance measures in a budget document, and performance information is given as a background and not utilised to strongly influence the decisions on the apportionment of the budget (Curristine 2005:

102-103; Berry *et al.* 2000: 352 and Grizzle and Pettijohn 2002: 57). Presentational performance budgeting refers to a situation in which there is no clear "link between performance information and actual appropriations" (Melkers and Willoughby 2001: 62). In this situation, performance information is required but budget allocation is not based on it, but on other political considerations (Melkers and Willoughby 2001: 62). Grizzle and Pettijohn (2002: 56) and Melkers and Willoughby (2001: 62) point out that the inclusion of performance indicators and information in a presentational performance budgeting is a mere administrative requirement or fulfilment of a legal obligation; it does not in any way influence the legislature in allocating the public budget.

3.4.2.2 Informed or indirect linkage performance budgeting

This type of a budget links the allotment of the budget to "measurable results" through use of information on outputs or outcomes. The resources are allocated in the manner that shows a link, even though not direct, to results. This implies that the information and results are used to influence the budget decision (Berman 2002: 349). However, the portion of the budget allocated is not entirely dependent on the use of the information provided by indirect linkage performance budgeting. Performance information is required, but it is not "…absolute and does not have a predefined weight in the decisions. The final weightings [in budget allocations] will depend on particular policy context" (Curristine 2005: 103).

3.4.2.3 Direct linkage performance budgeting

This is the type of performance budgeting in which budget apportionments are made solely and directly on the basis of the performance information. Appropriations are linked directly or explicitly to performance results. In other words, funding is directly linked to results achieved in a previous budget allocation. In this type of performance budgeting, superior performance implies increased budget allocation, and poor performance also necessitates a decrease in resource allocation to a particular program or department. Increase or decrease in allocation of resources is done through the use of a formula or a contract with "specific performance or activity indicators" (Curristine 2005: 103).

In order to understand the concept of performance budgeting it is necessary to define the following three terms:

(a) Inputs.

(b) Outputs.

(c) Outcomes.

Definition of these three concepts will be made in the following paragraphs:

3.5 DEFINITION OF INPUTS, OUTPUTS AND OUTCOMES

It is appropriate at this juncture to define the concepts of inputs, outputs and outcomes. Inputs are what employees utilise to help realise or achieve outputs and outcomes, for example, staff, money and equipment (The Aberdeenshire Council 2004: 7 and Lonti and Gregory 2007: 469). An output is the immediate product of what a person does expressed in terms that can help indicate quality or efficiency. Ho and Ni (2005: 67), Lonti and Gregory (2007: 469) and Artley and Stroh (2001: 38) further define an output as the amount of products and services completed or delivered to customers. For example, "lane miles of road repaired or number of programs or facilities provided" are outputs (Ho and Ni 2005: 67). An outcome is the wider (intended or unintended) effect or impact of what an organisation does (Rose 2003: 65 and Artley and Stroh 2001: 38). For example, the outcome of the "police investigation may be crime clearance rates, the outcome of drug prevention may be the reduction of drug usage in the target population" (Ho and Ni 2005: 66).

In measuring an output, a certain number of completed applications per week or month or year can be used, but an outcome may mean a certain percentage of satisfied applicants may be used as an indicator of achievement (The Aberdeenshire Council 2004: 7). Diamond (2005: 9) and Curristine (2005: 89-90) put it more simply by showing that outputs are quantifiable whereas outcomes include an extensive attention of society needs and are more popular to politicians and members of the public and are very difficult to measure and usually beyond control of a department. Rose (2003: 65) reiterates in a more elaborate manner that "…outcomes are impacts or consequences on communities of the activities of the government" whereas "outputs are goods and services that are produced

by a department" for consumption by the citizens. Tilbury (2006: 50) agrees that outcomes are results or "benefits" to consumers of a service. Because of their (outputs and outcomes) importance to performance budgeting and performance management, it is deemed helpful to outline their characteristics as perceived by Diamond (2005: 10 & 11) in the following manner:

(a) Outputs:
- Should be a good or service provided to individuals or organisations external to the agency.
- Should be able to be clearly identified and described.
- Should be for final use and not for an internal process or intermediate output.
- Should contribute to achievement of planned outcomes.
- Should be under the control (directly or indirectly) of the agency.
- Should be able to generate information that is a basis for performance comparisons over time or with other actual or potential providers.

(b) Outcomes:
- Should adequately reflect the government's objectives and priorities.
- Should be indicated by the impact on the community.
- Should be differentiated from the agency's strategies to which they contribute.
- Should clearly identify target groups, if so focused.
- Should be achievable in the specified time frame.
- Should be possible to monitor and assess the achievement of the outcome.
- Should be possible to identify the causal link between the agency's output and outcome.
- Should have clarity in definition and description to be easily reported externally.

3.6 STRATEGIC PLANNING AS AN ELEMENT OF INTEGRATED PERFORMANCE MANAGEMENT

There is a definite interconnection or a relationship between performance management and strategic planning (Kingdom of Lesotho 2003c: 11; Dusenbury 2000: 2; Tilbury

2006: 54; De Waal 2003: 689 and Rapea 2004: 99). Moll (2003: 63) and Sangweni and Balia (1999: 141) maintain that strategic planning and performance management are related because performance management, to be effective, requires the public sector organisations to ensure the following:

- To clearly articulate their missions and goals through strategic planning;

- To set annual objectives that relate to missions and goals.

- To gauge performance in order to evaluate the extent to which objectives are being attained.

- To provide feedback on the progress towards the attainment of set goals and objectives.

This interconnection between strategic planning and performance management is further illustrated in Figure 3.3 below:

Figure 3.3: Integrated performance management as a result of strategic plan and a performance management system synchronisation
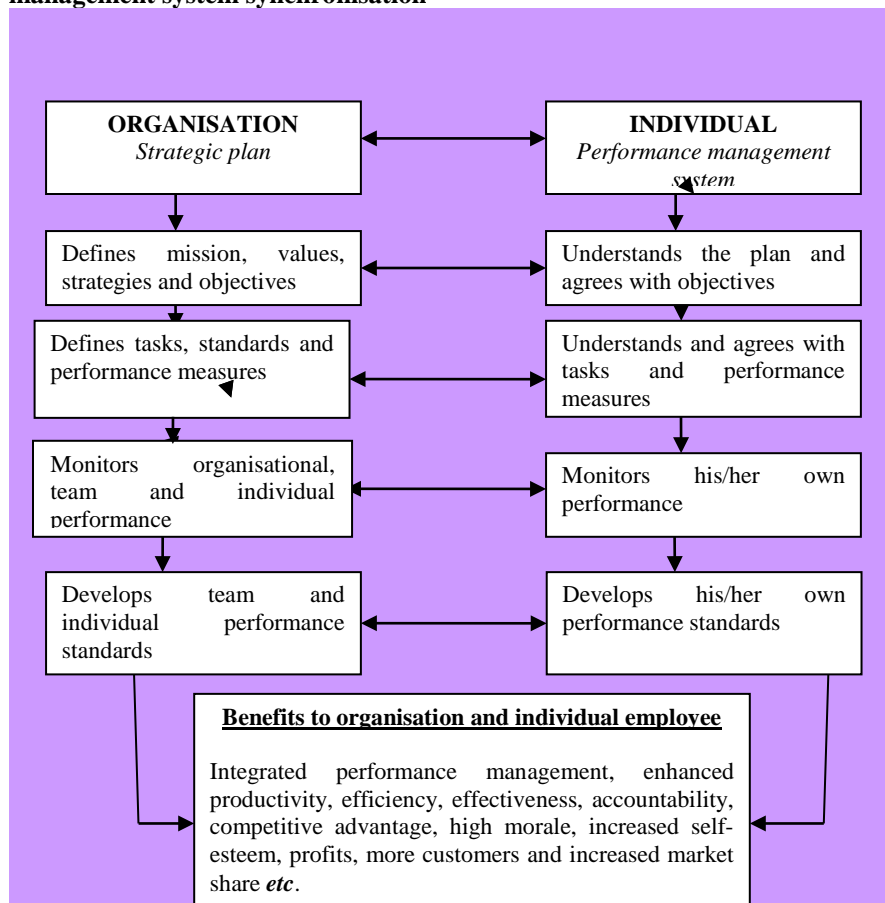
Source: Adapted from Kingdom of Lesotho (2003c: 11), Selden *et al.* (2001: 605), McAdam and Hazlett (2005: 268) and Au (2001:4).

The above diagram clearly shows how the organisation's performance is guided by the strategic plan and how an individual employee draws his/her work objectives from the strategic plan, and how this relationship, a symbiotic one, leads to a common purpose of productivity, efficiency, effectiveness, high morale, accountability and so on by both an individual employee and the organisation (Noe *et al.* 2000: 279; Whittington-Jones 2005: 84 and Mitrani *et al.* 1995: 97-98). This provides a clear example of an integrated performance management as a result of a harmonisation of a strategic plan to a performance management system (Selden *et al.* 2001: 606 and Minnaar and Bekker 2005: 134). The achievement of the objectives of the individual employee and that of the organisation depends on the existence of both the strategic plan and a performance management system (Au 2001: 4; Williams 2006: 24-25 and Moll 2003: 354). Lack of either one of the two or both management tools can hamper the realisation of both individual and organisational goals. Integration of these two (strategic plan and a performance management), results in integrated performance management (Selden *et al.* 2001: 606).

Solomon (2003: 37) points out that the public institutions are steadily increasing their use of integrated performance management as a way of imparting knowledge and emphasizing the organisational corporate strategy (strategic plan) and culture on issues of quality enhancement and customer service development. Integrated performance management enables employees to achieve goals by ensuring that they base their responsibilities and practices entirely on the institutional strategies and objectives (Layton 2002:29; Moll 2003: 354 and Spangenberg 1994: 61-62). The organisational goals and objectives are communicated through line managers by means of integrated performance management (Sangweni 2003: 23; Magosi 2006: 79 and Boice and Kleiner 1997: 197). Therefore, integrated performance management is indebted to a thorough exploitation of a strategic plan (Whittington-Jones 2005: 84- 85). The performance management system and the strategic plan are definitely not only related, but also complementary management tools (Dusenbury 2000: 1-2 and Layton 2002: 29).

3.7 A BUDGET AS A PERFORMANCE ELEMENT OF INTEGRATED PERFORMANCE MANAGEMENT

Ahmad *et al.* (2003: 717) argue that budgets are utilised for a variety of purposes such as performance management, staff motivation, business decision-making and cost management tools. As a result, a budget has been and is still used as a vital tool for management and as a control technique (Lethbridge 2004: 2; Berry *et al.* 2000: 345 and McNab and Melese 2003: 76). Magosi (2006: 79) adds that in Botswana the parliament expects the ministries to submit their budgets that are tied to annual performance plans in order to be allocated funds. This indicates that a budget can be used as a key performance element of an integrated performance management. De Waal (2007: 71) asserts that "(i)n Kenya performance management was traditionally defined as the process of financial control, in which the mission and strategy are translated into budgets, and subsequent results are compared." Ahmed *et al.* (2003: 718) further point out that a number of scholars agree that budgets assist in "distributing resources, harmonising operations and are a useful means for planning, controlling and managing performance." Lethbridge (2004: 2) agrees that the budget systems that were introduced as a result of global health reform initiatives have enhanced financial planning, control systems and performances of public sectors. They have achieved these through focusing on the outputs and targets that were set for public health sector departments (Lethbridge 2004: 2). These arguments only emphasise the importance of a budget as a performance element of a comprehensive performance management or integrated performance management (Minnaar and Bekker 2005: 135).

Rose (2003: 43) and Diphofa (2005: 60-61) contend that in order to improve the performance of an organisation there has to be an interface between a finance management system and a performance management system. This can be done by adopting a results based management system through linking performance and budgets, and that results in integrated performance management (Rose 2003: 43 and Eedle 2007: 64). The fact that a budget is a tool for distribution of resources makes it imperative that there has to be a link between resources and performance as manifested by services given to the public (GAO 2005: 5). A performance linked budget provides more information as

targets and outcomes are clearly spelt out (GAO 2005: 5). Figure 3.4 below shows how a budget and performance can be linked to create an integrated performance management:

Figure 3.4: The use of a budget and a performance management system to create integrated performance management
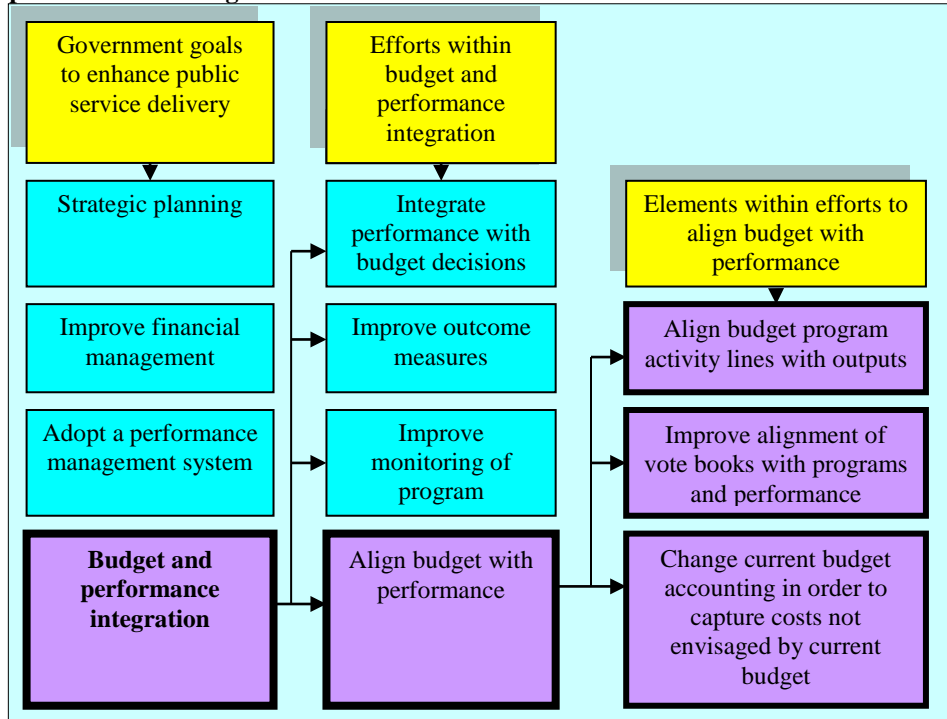
Source: Adapted from GAO (2005: 26)

Figure 3.4 above depicts the necessary processes that have to be considered in order to have an interface between a strategic plan, budget and a performance management system. The purpose of these efforts is to ensure that the overarching goals of the government are attained. They also contribute towards effective, efficient, accountable and responsive public service delivery. Simply explained, the table shows that the government sets the performance framework by formulating goals and objectives. The goals and objectives are put into a strategic plan by the implementers, namely government departments (Van der Molen *et al.* 2002: 352). In order for plans to be executed, financial resources have to be acquired (Minnaar and Bekker 2005: 132). In this sense a link is created between a budget and a performance management system. It is concluded that the budgeting system that highlights the outputs and outcomes of public service delivery is directly related to a performance management system (RSA 2002: 10

and Minnaar and Bekker 2005: 132). This is because a performance management system aims to improve the standards within the public sector, and ensures responsive public service delivery (Systems Union 2006: 3-4; Magosi 2006: 78 and Lethbridge 2004: 3). Budgeting is seen as one of the processes that should be informed by a performance management system (Systems Union 2006: 2). Coates (2004: 630) points out that the importance of budget in performance management has introduced a concept of "performance budgeting".

3.8 ADOPTION AND USE OF INTEGRATED PERFORMANCE MANAGEMENT INTERNATIONALLY

Integrated performance management has its origin in the western developed countries private and public sectors, and has recently been adopted and tried by public services in the developing countries due, mainly, to advocacy by the World Bank and the International Monetary Fund (IMF) (Radnor 2004:245; Brignall and Modell 2000: 281; Artley and Stroh 2001: 5; Dubnick 2005: 378; Curristine 2005: 91; Curtis 1999: 260 and De Waal 2007: 69-70). Internationally, integrated performance management is used to achieve a number of objectives (Minnaar and Bekker 2005: 132-133). Table 3.1 will highlight some of the purposes that integrated performance management strives to achieve in both developing and developed countries. The country, and the year the system was adopted and the focus or the challenge it was meant to address will also be shown in Table 3.1 below:

Table 3.1: The international adoption and application of integrated performance management (IPM)

Country	Year IPM was introduced[1]/ adopted[2]	Challenge/focus to be addressed Any other remarks
United Kingdom	1998[1]	- Economy, effectiveness, and efficiency - Service delivery - Financial or budget management - Accountability
United States of America	1993[1]	- Actual programme results compared to performance goals - Achievement of statutory objectives against stated goals - Relative effectiveness and efficiency of programmes; service delivery and accountability
New Zealand	1989[1]	- Enhance productivity and accountability - Actual programme results compared to performance goals - Budget and financial management
Canada	1994[2]	- Enhance Efficiency; effectiveness and economy; - Maintaining capacity to deliver and accountability - Financial performance e.g expenditure management;
Tanzania	2002[1]	- Financial management improvement (output based budget) - Set up and publish standards of service - Performance improvement - Inculcate a culture of accountability in the Public Service
Namibia	2004[2]	- Measurement of staff performance and motivation of staff - Improvement of public service delivery - Streamlining of efficiency, effectiveness and accountability
South Africa	1997[2]	- Measurement, management and improvement of staff and organisational performance - Career development - Accountability - Responsive and ethical public service
Botswana	2004[1]	- Accountability - Efficient and effective delivery of public services - Link performance management to budget - Improve productivity
Lesotho	2000[1]	- Economy, effectiveness and efficiency; - Transparency in applying performance appraisal; - Productivity improvement - Enhance accountability

Sources: Behn (2003: 588); Rose (2003: 42); Artley and Stroh (2001: 5); Simataa (2004: 7-8); Government of the United Republic of Tanzania (2003: 2-3, 5); McGill (2006: 9); Singh (1998: 7); Sangweni (2003:23); Bakwena (2003: 3-4); Selepeng (2002: 1) and Talbot *et al.* (2001: 11)

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[1] **Means the adoption or the full implementation of IPM**

[2] **Means the introduction of IPM**

The table above shows that the concept of integrated performance management was initially adopted and implemented by the Western developed countries. The developing countries followed by experimenting with the concept in the early 2000s, almost a decade later.

The focus of and challenges that integrated performance management is meant to address are the same in both the western developed and developing African countries. Most, if not all, of these countries seek to enhance accountability, improve public service delivery, ensure public service efficiency and effectiveness and improve financial management (Tilbury 2006: 48). The analysis of Table 3.1 above also reveals that integrated performance management emphasises efficiency and effectiveness (i.e the achievement of goals and objectives that relates to strategic planning), accountability, and the budget. This is because a number of countries have these concepts as some of the challenges to be addressed by integrated performance management. This, therefore, reaffirms the relationship between strategic planning, accountability and budget with integrated performance management as outlined in the foregoing paragraphs.

3.9 CONCLUSION

In this chapter definitions and discussions have been made in relation to the concepts of integrated performance management, strategic planning, budget and other concepts that are part of these three. How strategic planning and budgets can be synchronised with performance management to create integrated performance management has been outlined. This chapter has shown the vital link between strategic planning, budget and performance management. The types of budgets and their relationship to performance management have also been outlined. The international use or application of integrated performance management has been shown. The importance and uses of integrated performance management, strategic planning and budget as management tools have been highlighted. It can be concluded, therefore, that the synergy and the interdependency of the concepts of performance management, strategic planning and a budget cannot be overlooked if the organisation strives to perform at its best potential. Absence of one in the equation can surely negatively affect the whole organisational effectiveness and

efficiency. This is proved by the fact that most countries in the preceding paragraphs base achievement of their organisational effectiveness and efficiency on the use of integrated performance management.

CHAPTER FOUR

THE INTRODUCTION AND IMPLEMENTATION OF A PERFORMANCE MANAGEMENT SYSTEM IN THE PUBLIC SERVICE OF LESOTHO

4.1 INTRODUCTION

This chapter provides an overview of a performance management system (PMS) in the year in which it was introduced, the reasons for its adoption and how it was introduced in the Public Service of Lesotho. Issues that relate to the implementation of a performance management system in Lesotho are highlighted. A brief introduction of Lesotho's geographical, social, economic and political context is made in order to provide the contextual framework to the discussions that arise in this chapter. The attitudes and concerns of the public servants during the introduction and the implementation of a performance management system are highlighted. The features of a performance management system as applied in Lesotho are outlined. The conflict resolution mechanisms used in Lesotho, in relation to the application of a performance management system are provided. The focus on the implementation challenges is made in this chapter. This focus investigates the role played by the Ministry of the Public Service and the Government of Lesotho as major stakeholders in the implementation of a performance management system.

4.2 GEOGRAPHICAL AND SOCIAL BACKGROUND ON LESOTHO

Lesotho is a small mountainous country which is entirely surrounded by the Republic of South Africa (Goebel 1991: 82 and World Bank 1995b: 1). It has a population of about 2 million inhabitants living sparsely in the area of about 30, 355 square kilometres (UNDP 2004: iv). About 80% of Lesotho inhabitants live in the rural underdeveloped areas while only 20% are urban dwellers. Lesotho is usually referred to as the "Mountain Kingdom". The people of Lesotho are known as Basotho and their language is Sesotho. Lesotho gained its independence on the 4th October, 1966 from the British rule (United Nations 2002: 304; UNDP 2004: 1; USA 2001: 346; Machobane 2001: 1 and Pearsall 2001: 113; 1311). Lesotho is a constitutional monarchy state like its former colonial master, Britain (Machobane 1990: 27). In the same way as other former colonies, Lesotho acquired a

number of political, administrative and cultural practices from its colonial master (Admolekun 2002: 373; Kunaka *et al.* 2002: 29-30; Turner and Hulme 1997: 85; Lungu 1998: 1 and Machobane 1998: 383). Inherited matters include religion, laws, system of a parliament which is bicameral, the public service structure and ethos, as well as the English language (Joireman 2001: 571; Courier 1995: 35; Maqutu 1990: 54; Edwards and Kinyua 2000: 227-228 and Mann and Roberts 1991: 15). Lesotho, therefore, has two official languages, namely English and Sesotho (Courier 1995: 35). Life expectancy of Basotho people is estimated at about 40 years (Solo 2000: 69-70; Lesotho Tourist Board 2004: 4; Matlosa 1997: 241; USA 2001: 345; Machobane 2003: 13-15; United Nations 2002: 305 and UNDP 2004: iv).

4.3 ECONOMIC AND POLITICAL BACKGROUND OF LESOTHO

Lesotho is classified as one of the least developed countries (LDCs) (UNDP 1997: 2). The economy of Lesotho suffered a severe destruction and slowdown as a result of the political and civil strifes of 1998. Despite all those economic destructions that resulted from 1998 political unrest, Lesotho is steadily rebuilding its economy (Hanekom 1998: 158 and Work for Justice 2005a: 3). Some of the major challenges facing the country lately include the scourge of HIV/AIDS (resulting, among others, in large numbers of orphans close to 5% of the population), relatively high unemployment rate (over 40% of the labour force), drought and acute poverty (UNDP 2004: iii, 1; Cadribo 2000: 200; Kotele 2005: 1; Central Bank of Lesotho 2005c: 3; Kingdom of Lesotho 2006: 3; Kingdom of Lesotho 2004b: 18; Kingdom of Lesotho 2004a: 12; IOM and UNAIDS 2003: 8 and UNICEF 2002:20).

Lesotho has been a multiparty system since 1966, even though, until 1993 only one party, namely the Basotho National Party (BNP) governed (Likoti 1999: 208; Makoa 1999: 43; Machobane 2001: 6-7; Sanders 2000: 99; Mohapi 2005: 8-9 and Weisfelder 2002: 1). This resulted in a number of political and civil unrests which ultimately resulted in a number of military coups since 1986 (Khaketla 1972: 263; Matlosa 1994: 225; Maqutu 1990: 18 and USA 2001: 346).

It is worth noting that before the introduction of the enhanced structural adjustment programmes (ESAPs) to Lesotho in the late 1980s, the public sector salaries alone

amounted to 10% of the Gross National Product, and the government employed almost 35% of the working population (KPMG 2000: 9 and Kingdom of Lesotho 2004b: 15). Goebel and Epprecht (1995: 4) conclude that "Lesotho possessed a bloated and corrupt bureaucracy…". In 1997 the government employed 31, 881 persons and this made 9% of the 353, 155 employed persons in Lesotho. This number (353, 155) included employees in the private, parastatal and farming sectors in the year 1997 (Kingdom of Lesotho 1997: 19). Central Bank of Lesotho (2005a: 19) estimated the total number of government employees at 37, 097 persons in 2005, while the number of public servants in Lesotho stood at 40, 000 employees in the year 2007 (Central Bank of Lesotho 2007: 5). Comparing the number of public servants in the year 1997 to that of 2007 the difference is 8119 public servants. A large portion of this difference is attributed to the introduction of the local government system and free primary education in Lesotho, which slightly increased the number of public employees (Central Bank of Lesotho 2007: 5).

The public service reform programmes in developing countries, and in Lesotho specifically, aimed to reduce the wage bill on the budget in order to reduce the burden of fiscal problems faced by governments in these countries (Adamolekun 2002: 377; Oluwu 1999: 1; ILO 1994: 7; MacGregor *et al.* 1998: 61; Peters 1998: 386 and KPMG 2000: 9). Given the growth difference between the numbers of public employees in the public service of Lesotho from 1997 to 2007, it is clear that a significant success was made to reduce the government wage bill (Kingdom of Lesotho 1997: 19 and Central Bank of Lesotho 2005a: 19). Cameron and Tapscott (2000: 85) show that spending more money on public service personnel emoluments leads to reduced funding for other government programmes. The public service reforms aimed to correct this economic anomaly. In order to curb the inefficiency, lack of accountability and corruption, amongst others, in the Public Service of Lesotho there was a general agreement to follow the route of performance management (Kingdom of Lesotho 2005b: 15 and Central Bank of Lesotho 2007: 2-3). For the Central Bank of Lesotho (2007: 3) the introduction of the performance management system was meant to create a "performance oriented civil service" in which managers and staff agree on goals to be pursued as dictated by the

organisational strategic plans. The following paragraphs will deal with the introduction and implementation of the performance management system in Lesotho.

4.4 A PERFORMANCE MANAGEMENT SYSTEM IN THE PUBLIC SERVICE OF LESOTHO

A performance management system (PMS) in the Public Service of Lesotho has been in practice since 1969, albeit in a different form from the one being applied presently. The current form of a performance management system is different from the previous one. The previous performance management system was dubbed as a "closed" system and it was enforced through the 1969 Public Service Regulations, Chapter II part D that dealt with "Confidential Reports" (Kingdom of Lesotho 1966: 210). A confidential report was a performance management system that was used to report about subordinates by their supervisors on the issues of conduct, performance and promotion eligibility, amongst others (Thabane *et al.* 1975: 78). 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 1966: 210).

Confidential reports were prepared once a year by supervisors and that was any time before 15th January each year (Kingdom of Lesotho 1966: 210). The use of confidential reports was in practice until the 20th January, 2000 when the current system was introduced. This, therefore, means that the current form of a performance management system has only had eight years in practice in the Public Service of Lesotho (Kingdom of Lesotho 2000b: 1 and Kingdom of Lesotho 2000c: 1).

The confidential reporting system was laden with the following deficiencies according to Kingdom of Lesotho (1992: 15) and Thabane *et al.* (1975: 23-24):

- It was not an objective management and human resource planning tool, as a result it failed to effectively address issues such as promotion, utilisation, placement, career planning and management as well as succession.

- It lacked credibility as it was a one-man opinion that could not be tested or validated.

- It was dependent on the likes, dislikes, wishes, whims and feelings of the supervisor, and as a result, the report was based on the personality of the supervisor. This means a benign supervisor would reflect this trait in a report and a cruel or bitter supervisor could also take out his/her feelings on his/her subordinate.

- It could not motivate nor improve the morale of the employees as they never knew what level of performance would be attributed to them, because they never knew or were never shown their performance ratings.

- It was too open to abuse by supervisors because no one could correct or give a different opinion from what they had reported. The supervisors were in this sense players and referees at the same time.

The following paragraphs will illustrate the stages that were followed before the new system of performance management could be implemented by the government of Lesotho. The introduction and implementation of a system of performance management requires financial resources. The following paragraph will show how Lesotho Government secured funding for the introduction of the performance management system.

4.4.1 Negotiations for funds

The Government of Lesotho, realising the need to professionalise its public service delivery, build capacity, reduce the costs of providing services, measure public service performance and to enhance accountability negotiated with the Commonwealth Fund for Technical Cooperation (CFTC), and the World Bank to fund, amongst others, the introduction of a performance management system in the Public Service of Lesotho (Maqolo and Mosesi 2007: 6 and Chowdhury 2003: 23-29). The negotiations between the CFTC, the World Bank and the Lesotho Government were successfully entered into in 1992 and were completed by the end of the same year (UNDP 1997: 2). The CFTC was requested to provide the technical assistance on how to introduce a performance

management system in the Public Service of Lesotho and to jointly fund this project in collaboration with the World Bank (Maqolo and Mosesi 2007: 6).

4.4.2 Research for the introduction of a system for performance management

The World Bank and the International Monetary Fund (IMF) funded research that was to be conducted by the Lesotho Institute of Public Administration and Management (LIPAM) and the Institute of Development Management (IDM) on the appropriate model of a performance management system for the Public Service of Lesotho. Different models of a performance management system were tabled and debated amongst senior government officials. The debates on the appropriateness and relevance of each model to the Public Service of Lesotho were made. The following are the models of a performance management system that were discussed and debated on for their suitability:

- Management by Objectives- Performance management system.
- Performance Related Pay- Performance management system.
- 360 Degree Feedback- Performance management system.

The details of these models will not be discussed in this chapter as they are not the main focus of discussion. However, it is important to reveal that the research recommended an adoption of a hybrid of 360 Degree Feedback- Performance management system and a Management by Objectives-Performance management system (Kingdom of Lesotho 1995b: 18). This hybrid of a performance management system has the following objectives according to a government report (Kingdom of Lesotho 1995b: 2):

- To develop clearly stated goals and better understanding of the roles of each ministry.
- To encourage public officials to participate in planning of work and its processes.
- To promote harmonious supervisor-subordinate relations through regular discussion and feedback.
- To ensure that appraisal of public officials is carried out in a fair and objective way.
- To encourage a climate of continuous improvement and an ongoing focus on improving skills and work processes.

- To help departments to design more structured and focused training programmes based on actual needs of the organisation and the personal development of individual public employees.
- To improve people management through the provision of user-friendly appraisal system.

4.4.2.1 Needs assessment

Over and above the undertaking of research to select an appropriate model of a performance management system, the Government of Lesotho commissioned a needs assessment study that needed to be undertaken (Maqolo and Mosesi 2007: 5). The needs assessment was to focus on the following issues (Kingdom of Lesotho 2007: 17):

- What levels of the public service should be subjected to a performance management system?
- What would be the training requirements for the implementation of a performance management system?
- How would such training be accessible to all public servants and who would offer such training?
- What would be the financial and infrastructural requirements for the introduction and implementation of a performance management system?
- How will the costs arising out of infrastructural and financial requirements be met?
- What political and administrative structures need to be in place to ensure the sustainable implementation of a performance management system?
- What management control systems need to be in place before a performance management system is introduced?

The above questions were to be answered satisfactorily before the Cabinet could approve the introduction of a performance management system (Kingdom of Lesotho 2007: 7-14). The Ministry of the Public Service, LIPAM, and the UNDP were charged with undertaking the needs assessment study. Training was held for the public officials from the Ministry of the Public Service and LIPAM on research methods related techniques

(IDM 2003: 1-6). The needs assessment study took six months to be completed, and the findings were subsequently reported to the Cabinet. The Cabinet found the report to be acceptable as the Government of Lesotho was not expected to bear major financial costs (Kingdom of Lesotho 2007: 16). The report showed that the United Nations Development Programme (UNDP), the World Bank and IMF as well as the CFTC would bear the main costs for the introduction and implementation of a performance management system. Once accepted the needs assessment study was followed by the feasibility study. The feasibility study was intended to assess the level of readiness within the Public Service of Lesotho to implement a performance management system.

4.4.2.2 Feasibility study

Immediately after the agreement to fund the introduction of a performance management system in the Public Service of Lesotho was reached, the Government of Lesotho requested the World Bank and the CFTC to proceed with the undertaking of a feasibility study (Kingdom of Lesotho 2007: 213). The World Bank and the CFTC collaborated with the Ministry of the Public Service in setting up a team that conducted workshops and focus group discussions to seek understanding, views and acceptance of the impending introduction of a performance management system from the key stakeholders, namely the politicians, public servants and their associations (IDM 2003: 8). The LIPAM and the Ministry of the Public Service were part of the team. This team travelled across the country imparting information and interviewing stakeholders to assess whether a performance management system project would be feasible. Concern was that Lesotho is a mountainous and rugged country and has outlying districts. Therefore, a logical question was, would a performance management system implementation, monitoring and evaluation be manageable in those outlying districts? The feasibility study and information sharing highlighted the fact that the confidential reporting system was an old system inherited from the colonial government that served little or no purpose in the transformation of the public service in Africa (Kingdom of Lesotho 1992: 23). The system served the interests of the colonial masters as it was the case elsewhere in the former colonised Sub-Saharan African countries (Kingdom of Lesotho 1995b: 7 and Adamolekun 2002: 375). It was fundamentally against all the dictates of the IMF and the

World Bank on improving productivity, efficiency, effectiveness and accountability in the African public services (Kingdom of Lesotho 1995b: 3 and Jeong 1997: 85). It was "closed", undemocratic, unchallengeable and unpredictable. These characteristics impede efficiency, productivity and accountability in any organisation (Brinkerhoff and Brinkerhoff 2002: 512-513 and Balogun 2002: 547).

The feasibility study began in 1993 and its findings were published in 1994. Its findings echoed the complaints and dissatisfactions that were expressed by the employees on the confidential reporting system. The following findings were gleaned from the study (Kingdom of Lesotho 2003a: 51):

- The system was open to misuse and susceptible to favouritism by the supervisors.
- The system did not assist the employees to develop themselves or to meet certain targets as there were no jointly set standards of achievement.
- The system was based on colonial beliefs and practices, as it discouraged negotiations or freedom of opinion, especially from the subjects.
- The system was not in line with the international standards of transforming the public service, as it played down the issues of accountability, human resources utilisation and productivity.
- The system hampered communication between the supervisors and supervisees.
- The system destroyed the morale of staff because they never got open praise, recognition or guidance on their performance throughout the year.

It was, therefore, concluded that the confidential reporting system should be abolished and a contemporary performance management system be introduced (Kingdom of Lesotho 1995b:4). The introduction of a new performance management system was made through training of public servants at all levels.

4.4.2.3 Development of strategic plans

It was agreed after the needs assessment and feasibility studies that the ministries need to first of all develop strategic plans (IDM 2003: 18). Objectives, goals and targets emanating from the ministerial strategic plans would be used to provide individual employee targets, and form a basis for performance (Kingdom of Lesotho 2003d: 5). This

would also align the individual work plans with the ministerial performance plans. It was agreed that it was impossible to effectively implement a performance management system in the absence of strategic plans (Hass *et al.* 2005: 180). The funding for the introduction of strategic planning was from the UNDP (Kingdom of Lesotho 1994: 32). The UNDP provided its human resource management specialists who trained the public servants on the development and use of strategic plans. The process of introducing and developing strategic plans in the Public Service of Lesotho ran concurrently with that of introducing a performance management system. Therefore, the Public Service of Lesotho experienced significant changes in a short space of time. It has to be noted that this was unsettling for some officials (Kingdom of Lesotho 2003a: 12). Public officials had fears and concerns as a result of the introduction of the concept of strategic planning, especially when a correlation was made with a performance management system. The following were some of their concerns according to (Kingdom of Lesotho 2003a: 25):

- Fear of dismissal if one did not perform well. Job security would be compromised as a result of strategic planning.

- Strategic planning was meant to reduce the number of public servants to contain government expenditure on salaries of public servants. This was commonly known as a route to "down-sizing" of the public service.

- Strategic planning was used as a disguise to dismiss public servants who did not share the philosophy, vision and ideologies of the ruling party. This was because the concept of strategic planning was introduced during the transition to democratic rule in Lesotho.

- Some public servants thought that they might lose their status or positions through demotions if they did not perform to expected standards.

- Some public servants thought that they might not easily adapt to, or fit into the new ways of doing things as a result of strategic planning.

- Some public servants felt that strategic planning would waste their time when doing their jobs as they already had their own tried and tested ways of doing things.

- Some public servants felt that they were going to have increased workload as a result of strategic planning and its concepts of work plans, activity plans and so

on. They viewed this as a complication of their jobs instead of assisting them to work smarter.

In spite of these findings, the Government continued with its plans and towards the end of 2001, some of the ministries had their first strategic plans developed and these enabled some of the public officials to derive their performance objectives from the ministerial strategic plans' objectives.

4.4.2.4 Review and design of job descriptions

It was also realised during the needs assessment and feasibility studies that the job descriptions in the Public Service of Lesotho were inadequate and therefore needed to be reviewed and developed before a performance management system could be introduced (IDM 2003: 14). The job descriptions that existed then were unclear, irrelevant and did not reflect any performance goals. The CSRP (1997: 2-3) puts it succinctly in showing the following flaws in those job descriptions:

- Their (job descriptions) formats permitted limited application. They were not adequate for exercises such as performance appraisal and job evaluation.

- The tasks were vaguely stated or incomplete such that what the incumbent was expected to do was not clear.

- Some job titles bore little connection to the main duties.

- In some cases job specifications did not correspond with the main duties, this means they did not adequately suggest the requirements for effective performance of respective jobs.

The review of the job descriptions did not only pave the way for the implementation of a performance management system in the Public Service, but also showed an inherent relationship between organisational goals, objectives and performance expectations (IDM 2003: 5). This sequence of events before the introduction of a performance management system shows the interdependence between strategic plans, job descriptions and a performance management system itself.

4.4.3 Development of a new performance management system

The CFTC was mandated to design and develop a system of performance management for the Lesotho public service (Maqolo and Mosesi 2007: 5). The development of this system followed a detailed schedule that included consultations (at both political and administrative levels), workshops (for senior, middle and lower management levels), and research to select a performance management system model for the Public Service and formation of task teams. The following paragraphs will highlight the role of different stakeholders during the development and introduction of the PMS in the Lesotho Public Service.

4.4.3.1 Role of the Commonwealth Fund for Technical Cooperation (CFTC)

As indicated earlier the CFTC was a major partner of the Lesotho Government in the introduction of a performance management system (Maqolo and Mosesi 2007: 6). The CFTC assisted the Government of Lesotho to design a performance management system of its Public Service. The CFTC played a role in funding as well as in introducing a performance management system to senior and middle management and the political leaders of Lesotho (Kingdom of Lesotho 2007: 213-214). The CFTC helped to secure political and bureaucratic support in the introduction of this system. It is sometimes not easy for a new concept to be introduced by the local experts, and the role of an outside role player in introducing change and brokering amongst the competing powers was essential. This was indeed the case in this situation where the CFTC was contracted to render support services (UNDP 1997: 44).

The CFTC sent a team of its experts to Lesotho to train and form a team of officials from the Lesotho Public Service who on their part would teach others about the new system. These were knowledgeable individuals who had to convince the public servants and the politicians about the importance of a new performance management system. It will be shown that the introduction of a new concept or any new ways of doing things often meets a lot of resistance, and this was initially the case with a new performance management system.

4.4.3.2 Role of the Civil Service Reform Programme (CSRP)

During the early 1980s to the late 1990s, the UNDP adopted a strategy known as the Civil Service Reform Programme, which was meant to assist governments in the developing states to build financial and management capacities and to achieve what was then known as "good governance" (UNDP 2006: 1 and Dzimbiri 2008: 3). Therefore, the civil service reform is defined as a strategy employed by the UNDP to enhance public service delivery efficiency and effectiveness and accountability of the government (UNDP 2006: 1 and Dzimbiri 2008: 3). Amongst the objectives of the Civil Service Reform Programme, the introduction of a performance management system was an important issue (Chowdhury 2003: 35 and Kingdom of Lesotho 2007: 213). The CSRP in Lesotho also facilitated the introduction of a performance management system and advocated issues of efficiency, accountability and productivity as the components of a performance management system (Kingdom of Lesotho 2003: 5). Reforms in Lesotho and other African public services, especially in relation to performance management, were focused, amongst other things, on the following issues according to the Kingdom of Lesotho (2001c: 1) and Kathyola (2006: 1):

- Placing more emphasis on the role of a public manager in providing high quality service, which citizens value, by promoting changes that are responsive to the needs of the community.
- Advocating for increase in managerial autonomy, especially by reducing central agency controls.
- Demanding measures of performance and rewards for both the organisation and the individual.
- Recognising the importance of providing the human and technological resources that managers need to meet their performance targets.
- Being receptive to competition and open-minded about which public purposes should be performed by public servants, as opposed to the private sector or non-governmental organisations.
- Strengthening good governance and enhancing the role of the civil society and public participation.

In Lesotho, the civil service reforms targeted more specifically the issues of quality service delivery, managerial autonomy, performance management and the organisational development (Kingdom of Lesotho 2007: 213). This was the core of the civil service reforms worldwide according to Wescott (1999: 146).

4.4.3.3 Role of the United Nations Development Programme (UNDP)

The UNDP as a global development partner with governments in developing countries played a valuable role in the introduction of a performance management system in the Public Service of Lesotho (Kingdom of Lesotho 2007: 213; UNDP 1997: 5, Wescott 1999: 157 and IDM 2003: 4). Apart from the civil service reform strategy it employed, the UNDP was instrumental in the negotiations between the Lesotho Government and the CFTC for the funding of the introduction of a system of performance management. The Ministry of the Public Service and the UNDP collaborated by forming a team made up of the officials from both institutions to develop and implement a performance management system project (IDM 2003: 16). The role of the UNDP during the introduction of a performance management system was that of negotiating for funding on behalf of and with the Government of Lesotho. The UNDP ensured the provision of the requisite human resource expertise and assistance during the introduction of a performance management system to ensure capacity in change management (Maqolo and Mosesi 2007: 5).

4.4.3.4 Establishment of a performance management system team

The introduction of a performance management system was carried out through a task team that was made up of the officials from the UNDP, the Ministry of the Public Service, the Lesotho Institute of Public Administration and Management (LIPAM) and the CFTC (Kingdom of Lesotho 2003b: 17). It has to be pointed out that this team was thoroughly trained on the issues relating to a performance management system. The Ministry of the Public Service officials in this team were expected to maintain a performance management system after the UNDP and the CFTC had left at the end of the project. The team travelled throughout the ten districts of Lesotho sharing a performance management system message (IDM 2003: 16). The Ministry of the Public Service

officials in the performance management team were drawn from the Management Services, and Training and Development departments. These were highly educated individuals with significant inclination and exposure to human resources management in diverse disciplines. It was referred to as the public service dream team or the "***crème de la crème***" of the public service (Kingdom of Lesotho 2003b: 18). The establishment of this team was meant to keep the philosophy of the civil service reform programme that requires ownership of projects by the locals (Wescott 1999: 148-149).

4.4.3.5 Workshop sessions on the appropriate model for Lesotho

A performance management system task team explained to the public officials the features of a performance management system model that has been agreed upon and selected. They taught public officials on how it should be applied, its merits and requirements (IDM 2003: 16). Workshops were organised for different categories of public officials. This was done in such a way that the senior, middle and lower management had separate training sessions. This helped these different groups to comprehend components and requirements that applied to them as well as those applying to the immediately lower levels to their own without complicating matters for other categories (IDM 2003: 14). It has been pointed out that management levels have different degrees of understanding problems, and as such, hold different views about issues. It is understandable also that senior and middle management grasp new concepts much faster than the lower level managers. However, all the levels of management can each contribute to and also learn from each other. This was the reason behind breaking these sessions into categories so that criss-crossing of ideas could be achieved.

4.4.4 Features of a Lesotho Public Service performance management system

A performance management system in the Public Service of Lesotho is enforced through the Public Service (Amendment) Regulations (Legal Notice No. 21 of 2000) (Kingdom of Lesotho 2007: 4). This legal instrument sets out the features of the system. The following are the prominent features of a Lesotho Government performance management system:

- The graphical model of a performance management system
- Annual operational plan.

- Individual annual work plan.

- Key tasks.

- Assumptions.

- Monitoring and providing support.

- Administration of performance records.

- Grievances in performance management.

- Coaching in a performance management system.

- Feedback on outcomes.

- Performance review.

- Recognition of achievements.

4.4.4.1 The graphical model of a performance management system

Performance management is an ongoing process and it has been pointed out that in Lesotho, it is carried out within four quarters of the year (Kingdom of Lesotho 1995b: 5). The first three quarters are dedicated to discussions and reviews on individual employee performance, and the last stage is called annual performance review as depicted by Figure 4.1 below (Kingdom of Lesotho 1995b: 5). This last stage is the one in which ratings are made on the performance of the subordinate. This is the stage in which agreements and disagreements often surface. These rates are discussed. They are not imposed by the supervisor on a supervisee. The rates are on the basis of whether a subordinate's performance is (Kingdom of Lesotho: undated):

- Outstanding (exceptionally good performance);

- Very good (performance consistently at required level);

- Good (performance at required level);

- Satisfactory (performance usually meets required level); and

- Unsatisfactory (performance less than expected level).

The Government of Lesotho chose the following model for a performance management system of its public service (Please see Figure 4.1 below):

Figure 4.1: A performance management system cycle in the Public Service of Lesotho
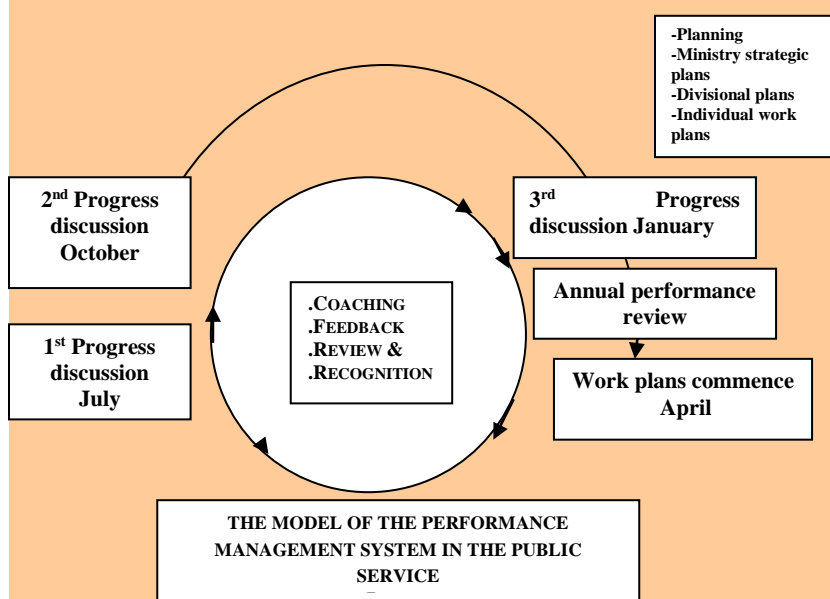
Source: Adapted from Kingdom of Lesotho (1995b: 5)

Figure 4.1 encapsulates all the essential elements of the PMS, namely coaching, feedback, review and recognition. Planning is also acknowledged as a vital component of a system of performance management in the above figure. Planning includes strategic planning, divisional work plans and individual work plans. The diagram provides a summary of a performance management system outlook in the Public Service of Lesotho by reflecting the need for strategic planning, Figure 4.1 acknowledges the inherent relationship between a performance management system and strategic planning. This shows the centrality of integrated performance management in the Lesotho Public Service.

4.4.4.2 Annual operational plan

The Public Service (Amendment) Regulations (Legal Notice No. 21 of 2000) state that performance planning should be on the basis of annual operational plans (Kingdom of Lesotho 2000b: 111). The Cabinet provides the general guidelines on what should be pursued as a national priority in a given financial year. It is worth noting at this point that the financial year of the Government of Lesotho starts from the 1st of April every year and ends on the 31st of March of the following year. The ministries and departments tailor their work plans in line with the stipulated government or national priorities (Sekhamane

2006: 6). However, ministries and departments are allowed to incorporate into their work plans the strategic objectives that emanate from their strategic plans which should also be aligned with the national priorities (Kingdom of Lesotho 2007: 4; Kingdom of Lesotho 2000a: 13; Kingdom of Lesotho 2003b: 3 and Ives 2006b: 9). The consolidated divisional plan is called an annual operational plan (Kingdom of Lesotho 1995c: 12). This plan is prepared annually within the first three months of every financial year (Kingdom of Lesotho 2000b: 111). This process is summarised in Figure 4.2 below, which shows the interdependence of performance in relation to government, individual, ministerial priorities to enhance performance for the realisation of the overall objective of the public sector:

Figure 4.2: Performance model on interdependence of all stakeholders in public service delivery
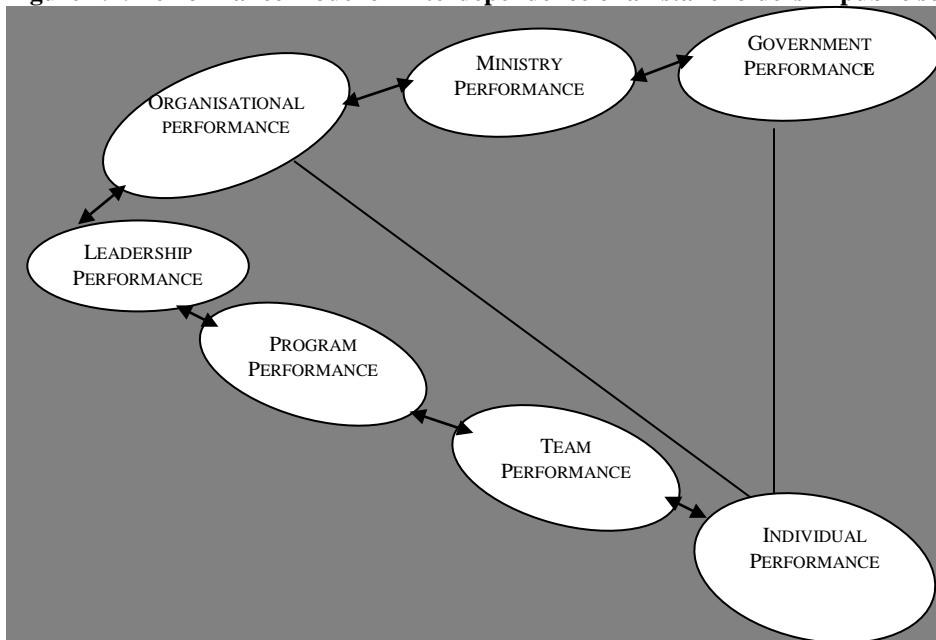
Source: Adapted from Ives (2006a: 2)

Figure 4.2 above shows the interrelatedness and interdependence of all the stakeholders in enhancing performance in order to meet the individual, ministerial needs. As illustrated in the above paragraph, the Government of Lesotho sets the national priorities to be addressed by ministries and departments, as well as individual public employees. The achievement of the set priorities may lead to the realisation of some of the government priorities or ministerial priorities, and ultimately the national priorities. Figure 4.2 reflects that teams and programmes feature significantly in the whole performance

interdependence equation. Leadership which may include supervision is also a crucial component in this maze of performance interdependence.

4.4.4.3 Individual annual work plan

Annually, at the beginning of a financial year, it is stipulated in the Performance Management System Guidelines that every public officer must prepare an individual work plan that is based on his/her job description and ministerial objectives, as derived from the strategic plan of the ministry (Kingdom of Lesotho 2000b: 111 and Kingdom of Lesotho 2000d: 4). Individual annual work plans provide the framework for the overall assessment that will be made at the end of every financial year. However, this plan is also helpful in tracking the performance of an employee during the course of the year (Kingdom of Lesotho 1995b: 5). Employee' performance is reviewed quarterly to assess whether it meets the agreed targets and to channel it accordingly. The individual annual work plan underscores the role of each public employee in enhancing public service delivery. This plan ensures that the strategic objectives of the organisation are pursued by every employee of the organisation (Kingdom of Lesotho 2000a: 1). This leads to integrated performance management as discussed in Chapter Three. It is worth noting that in a system of performance management of the Government of Lesotho, every supervisor coordinates the development and implementation of his/her subordinates' work plans and the Principal Secretary is expected, through the assistance of the Human Resources Department, to ensure that every employee is appraised and has an annual work plan. This is the expectation as stipulated in Section 13 (2) (b) of the Public Service Act of 2005 and the Constitution of Lesotho. How this is being done in practice is a different case as will be highlighted later.

4.4.4.4 Key tasks

Key tasks are detailed descriptions of how the set objectives and goals will be achieved (Kingdom of Lesotho 1995b: 12-13). The key tasks relate to the job descriptions of an individual employee (Armstrong 1997: 51). The key tasks show what an individual does on a daily basis to achieve specific objectives of the organisation (Kingdom of Lesotho 1995b: 13 and Williams 1998: 66). Key tasks can be viewed as a detailed breakdown of organisational objectives as they relate to an individual employee. They can be utilised as

a day-to-day yardstick of progress towards the achievement of set objectives (Kingdom of Lesotho 2005c: 21). The key tasks are developed jointly by the subordinate and the supervisor. They are derived from the job description of the subordinate and the ministerial objectives. The supervisor ensures that the subordinate executes these tasks so that the stipulated targets are reached in the time they are supposed to. This means, therefore, that the supervisor monitors the achievement of these tasks.

4.4.4.5 Assumptions

Assumptions relate to the conditions that may assist or hamper the achievement of certain targets or objectives (Kingdom of Lesotho 2001a: 16). These are assumed or predicted beforehand. For example, the availability or non-availability of financial resources is a critical condition to be born in mind when drawing an annual work plan. A plan may be realistic, time-bound and achievable, but without adequate resources, failure to implement it is highly likely (Kingdom of Lesotho 2001a:17). The assumptions about the work plan have to be seriously considered by both the supervisor and the subordinate before the plan is put into operation.

4.4.4.6 Monitoring and providing support

Monitoring performance and providing support is an aspect of a performance management system that takes place after performance planning has been carried out (Cotton 1988: 68-70). The subordinate is monitored and supported by the supervisor during his or her performance towards achieving the expected goals and objectives (Winstanley 2000: 191). Mendonca and Kanungo (1990: 227) point out that during the monitoring of performance, the supervisor gives a continuous "feedback", which is presented in a non-fault-finding but coaching manner to the subordinate. In this manner the subordinate is assisted to attain the required performance level (Hill 1984: 71 and Kingdom of Lesotho 2007: 79). Fox and Uys (2002: 106) add that performance monitoring involves close supervision and recording on the way the job is performed as well as discerning problems that may rise on the job performance with a view to finding solutions to them. The monitoring mechanisms in a performance management system of the Lesotho Government are the quarterly performance reviews, in which the supervisor and the subordinate take stock of the extent to which progress is being made towards

achieving the set targets (Kingdom of Lesotho 2005g: 9). It will be shown later that this exercise is not done as well as it should. Performance reviews are integral monitoring mechanisms in a performance management system. Every three months of the financial year a performance review has to be carried out by the supervisor on the work progress of the subordinate. This is the ideal situation that should be attained. However, it will be shown later in this chapter that this is not strictly adhered to in practice.

4.4.4.7 Administration of performance records

At the end of the review period, which is done on a quarterly basis, a performance review form is filled in and this is confidential to all other members of staff except, senior management, the supervisor and the subordinate. The quarterly reviews forms should be kept in a safe place (Kingdom of Lesotho 1995b: 7). This means that there is still some confidentiality about performance of an individual employee, but this does not deny such a person access to his or her review report as the former closed performance management system did. This confidentiality is basically for protecting the subordinate. The completed review forms are put in a subordinate's Confidential Personal File and other copies are distributed to the following (Kingdom of Lesotho 1995b: 7):

    (a) Ministry headquarters (one copy);

    (b) Department of the subordinate;

    (c) The subordinate (one cope); and

    (d) Ministry of the Public Service (two copies).

4.4.4.8 Grievances in a performance management system

A performance management system has some hurdles to overcome at times, and these include situations where the supervisor and the subordinate cannot reach a consensus on a certain level of rating (Mondy *et al.* 2002: 300). Mondy *et al.* (2002: 300) directs that it is crucial to ensure that the "due process" exists in performance management. There has to be a formal grievance handling procedure that would ensure that subordinates can appeal performance reviews that they view as not reflecting a true state of affairs (Decenzo and Robbins 2002: 427 and Caruth and Humphreys 2008: 28). In the event that such a disagreement or other performance related disagreements arise, the case should be referred to the next level of management in the ministry (Kingdom of Lesotho 1995b: 10

and Kingdom of Lesotho 2005g: 12). Should the next level of management fail to resolve the matter, a panel should be established and it should comprise the following according to Kingdom of Lesotho (1995b: 10):

    (a) Chairperson (Head of the department or ministry or his/her nominee);

    (b) Representative of human resource office (Secretary of the panel);

    (c) Head of the division in which the subordinate is working;

    (d) Legal Officer;

    (e) Head of the cadre involved; and

    (f) Representative of the appropriate employee association.

A performance management system practised by the Public Service of Lesotho has some elements that are both unique to Lesotho, and also universally applicable to other public services through out the world. The following paragraphs will deal, in a detailed manner, with these elements.

4.4.4.9 Coaching in a performance management system

Coaching is an essential feature of a performance management system (Kingdom of Lesotho 2005g: 9-10). A performance management system in the Public Service of Lesotho emphasises "coaching" (Kingdom of Lesotho 1995d: 2). Coaching means tutoring, instructing, leading and providing suggestions about certain facts that are related to a task (Parsloe 1995: 52 and Edis 1995: 96). Coaching involves the knowledge of the performance level or capabilities of the supervisee in relation to predetermined performance standards (Lawson 1996: 10-11; Kingdom of Lesotho 2007: 79 and Nel *et al.* 2004: 477). Coaching means "motivating, inspiring and taking people to greater heights" (Holliday 2001: 1). Evenden and Anderson (1992: 296) point out that coaching is a systematic and structured way of assisting an employee to acquire skills and knowledge, and to improve on these aspects. Rostron (2002: 134) points out that coaching is concerned with "developing self-esteem and building confidence" of employees.

A coach should have the following values that enhance other people's performance according to Holliday (2001: 3), Chism (2003: 193-194), Goetsch (2002: 223) and Kingdom of Lesotho (1995d: 2):

- **Clarity:** A coach should be able to provide and receive accurate information.
- **Supportiveness:** A coach should be committed to build and maintain the self-esteem of the subordinates.
- **Mutuality:** A coach should create a partnership perspective in which everyone wins and none loses.
- **Perspective:** A good coach should focus on the bigger picture, this means that he/she should focus on the overall objectives of the organisation.
- **Risk:** A successful coach encourages "innovation" and effort, reduces punishment for errors and reinforces learning by practice and experimentation.
- **Patience:** A knowledgeable coach goes beyond the short-term business focus, and adopts a perspective that balances long-term gain and business needs.
- **Involvement:** An enlightened coach takes time to develop a true interest in learning about individuals, in order to know the kind of concerns and actions that will motivate and inspire them.
- **Confidentiality:** A skilled coach has the ability to preserve information of all team members or subordinates, exchanges and creates a sense of trust and comfort with the individuals.
- **Respect:** A mature coach imparts and obtains high regard to and from the subordinate.

Mendonca and Kanungo (1990: 228) reinforce the role of a coach in performance management, by pointing out that a coach should commend the subordinate for a good performance and provide practical criticism for poor performance. The supervisor as a coach suggests solutions to some performance problems (Hill 1984: 71). The supervisor provides training and guidance where the subordinate has deficiencies in certain skills in order to improve performance of the latter (Meggison and Clutterbuck 1995: 30 and Mager and Pipe 1991: 25). A subordinate is sensitive to environmental changes, and a good supervisor or coach assists the subordinate to adapt comfortably to the changing

environment by, amongst other things, revising the performance standards and expectations. The supervisor strives to create an open and relaxed environment and develops rapport with the supervisees in order to direct, and lead them to solutions of their problems (Lawson 1996: 49 and Evenden and Anderson 1992: 297). It has to be pointed out that the Lesotho Public Service performance management system is failing to meet the above requirements mainly due to lack of commitment to the implementation of the system. This problem will be sufficiently dealt with in the following paragraphs when implementation challenges facing a performance management system in Lesotho are addressed.

4.4.4.10 Feedback on outcomes

A performance management system is predicated on the practice of providing feedback on the progress made towards the attainment of set goals, objectives and targets (OECD 2004: 2). The subordinate expects to be made aware on whether his/her performance is in the right direction with regard to agreed standards and benchmarks (Caproni 2005: 120). Pearsall (2001: 519) defines feedback as "…information given in response to a product, a person's performance of a task … [and it is]…used as a basis for improvement". Therefore, feedback is crucial in performance management because it assists in correcting performance related issues before the conclusion of the process (Bittel and Newstrom 1990: 103 and Hatch 1997: 331). In other words, feedback helps to improve performance of the subordinate (Lussier 2003: 447). Feedback is also an important aspect of a performance management system as it assesses progress against standards, and uses that information to ensure "self-correcting" process that will lead to the desired outcome (Kingdom of Lesotho 1995d: 3). The main thrust of the new system is that it expects the supervisor to continuously monitor work processes and outcomes, and give assistance and feedback to subordinates (Kingdom of Lesotho 1995d: 8).

Lawson (1996: 66-67) suggests that the following points are crucial guidelines when a supervisor provides feedback on the performance of the subordinate:

- The supervisor has to focus on the behaviour, not the attitude. Feedback should be concerned with the behaviour that has been observed, not on the attitude that the

supervisor believes the supervisee might be possessing. "Instead of saying 'you never take your work seriously,' a supervisor should say that 'your last report contained several errors that needed to be reworked." The latter is not judgemental but more of an opinion-giving tactic. This means that dwelling too much on the attitude may shift focus from behaviour patterns that affect performance, and as a result render a feedback that is not correct.

- The supervisor has to counsel instead of being evaluative. Behaviour has to be portrayed in the setting of a real situation: "I really liked the way you helped the confused guest we had on Tuesday morning. Your directions to her were clear and easy to follow, and you took the time to draw her a map."

- The supervisor should discuss behaviour that the subordinate can, or is able to alter. The supervisor has to have all relevant facts before he or she can assert that the subordinate is responsible for certain behaviour, or before he/she provides feedback on such behaviour. It is imperative that the supervisor should be calm when providing feedback. The supervisor, as much as he/she is in control of his/her emotions, should be particularly empathetic to the emotions of the subordinate. Providing and receiving feedback carries a great deal of emotional charge, especially if the subordinate and the supervisor are concerned with the work situation. The supervisor should at all costs avoid shouting at the subordinate no matter how upset he/she might be with him/her. If the subordinate becomes angry the best option is to take a recess and resume when emotions are under control.

- The supervisor should provide feedback in an understandable, clear and frank manner. The supervisor has to ensure that the employee understands well what he/she is saying when providing feedback to avoid misinterpretation. This can be done by asking the subordinate to summarise the feedback. The supervisor should not "simply ask, 'Do you understand?" This type of a question is "patronising and the employee may answer 'yes' out of confusion or embarrassment".

Figure 4.3 summarises the above arguments on feedback as a critical component of performance management:

Figure 4.3: The meaning and purpose of feedback
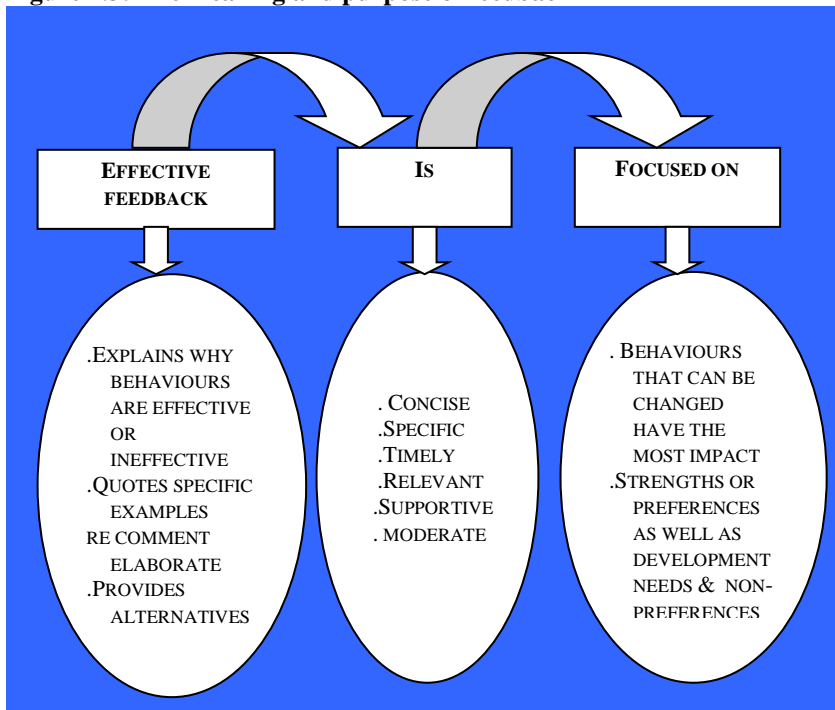
Source: Adapted from Williams (1998: 152).

Figure 4.3 characterises what effective feedback entails and focuses on. The salient points on this figure are on the role of feedback in enhancing performance of an employee by, amongst others, allowing open discussion between the supervisor and the subordinate, providing feedback that is timely, appropriate; accentuates positive behaviours and highlights strengths of the subordinate with a view to further develop those capabilities. The above figure also focuses on the role of feedback in determining training or development needs of the subordinate during management of performance. The above figure summarises the essence of effective feedback in a performance management system (Lawson 1996: 66-67).

4.4.4.11 Performance review

Performance review is about considering the extent to which set targets and standards have been met or are being met (Kingdom of Lesotho 2005g: 9). It involves a discussion about performance of the employee. A performance management system allows for quarterly performance reviews (Kingdom of Lesotho 1995d: 9). The following occur during the review meetings (Kingdom of Lesotho 2005g: 10):

- The employee prepares for the meeting by considering how well the agreed standards and targets have been met for each task. The subordinate also considers if there are any special contributions he or she made to the organisation so as to table them before the supervisor during the performance review meeting.

- During the meeting, the supervisor and employee consider each of the key tasks on the supervisee's work plan, and discuss how well the subordinate has met the performance standards for each key task.

- A discussion on areas of improvement is made during the performance review meeting.

- The supervisor gives an indication to the subordinate on how he/she deems the latter has performed, and what score or rating befits such a performance, and this is based on how well the key tasks and standards have been met as well as additional contributions made.

- The whole meeting has a "coaching" tone, instead of criticism that is based on the personal character of the subordinate; gentle but factual guidance and exchanges are made.

A system of performance management of the Lesotho Government has failed to adhere to the stipulation to of the Public Service Act 2005 that states that performance reviews should be carried out after every three months of the financial year. As recently as in June 2008, a circular that was distributed by the Ministry of the Public Service requested the public servants to ensure that instead of reviewing performance quarterly, this should be carried out twice in the financial year (Kingdom of Lesotho 2008: 3). The circular does not even stipulate the months during which this review should be done. This is contrary to the stipulations found in the graphical model of a performance management system as depicted in this chapter. It can be argued that the Public Service Regulations of 2008 admit failure to adhere to the performance review standards that are articulated in the Public Service (Amendment) Regulations (Legal Notice No. 21 of 2000). The reduction of the number of reviews indicates that a compromise has been made. These will be further debated under the areas of concern during the discussions on the implementation of a performance management system later in this chapter. In the Public Service of

Lesotho performance review is completed by the filling in of the forms which are categorised according to the level of seniority (Kingdom of Lesotho 2007: 39-40). There are performance review forms for senior, middle and lower management copies of which are attached as appendices. The review forms are labelled as follows:

a) Performance Review Agreement Form for Top Management (For officials at Grade I-L).

b) Form 29a- Performance Review Form (For officials at Grade E-H).

c) Form 29b- Performance Review Form (For officials at Grade A-D).

It has to be noted that the last two performance review forms are contained in a performance management system legislation of Lesotho, while the first form is not. It was designed by the senior management who complained that the other two forms were too long and wasted time to complete.

4.4.4.12 Recognition of achievements

Recognition is based on acknowledging an outstanding performance, and serves as a useful motivation tool (Armstrong 1996: 196; Wilkins 2003: 187 and Clegg and Birch 2002: 102). When a subordinate has met or exceeded expectations on the set standards in his/her performance, this should not go without a word of encouragement or a reward (Kingdom of Lesotho 1995d: 11; Kingdom of Lesotho 2005g: 9 and Goodwin 2006: 13). Therefore, recognition in performance management refers to rewarding good or excellent performance (Armstrong 1998: 196). This may include praise by management, promotion, opportunity to attend special conference, seminars or training course and secondment, amongst others (Kingdom of Lesotho 1995b: 11; RIPA International 2003: 48 and Armstrong 1998: 196). Recognition enhances self-worth of an individual supervisee (Clegg and Birch 2002: 102; Kingdom of Lesotho 2007: 79 and Wilkins 2003: 187). Bourgault and Gusella (2001: 30) conclude that "…employees who are proud to be of service and aware of the quality of their work perform better…public perception and recognition of good performance will contribute to employee pride". This argument further emphasises the importance of recognition in motivating Public Service employees, and it is embraced in a performance management system of Lesotho even though it is not applied in the manner it should be (Kingdom of Lesotho 2007: 79).

4.4.5 Piloting of a new system

The Government of Lesotho decided to pilot the implementation of a new performance management system. A performance management system of the Public Service of Lesotho was piloted for ten months from June 1994 to March 1995 (Kingdom of Lesotho 2007: 213). The piloting exercise was undertaken through the technical assistance and guidance of the CFTC. The UNDP provided human resources support. The piloting exercise was carried out in three ministries, namely Agriculture (Livestock Department), Posts and Telecommunications (Traffic Department) and Finance (Computer Centre Department) (Maqolo and Mosesi 2007: 7). The choice of the pilot ministries was based on their readiness for implementation and the type of work that was carried out. These ministries were able to clearly measure their targets. The Ministry of Agriculture could for example give account for:

- The number of livestock to be medicated per day, week, month and year;
- The number of livestock registered per day, week, month and year;
- The number of farmers assisted with their livestock per day, week, month and year; and
- The number of livestock products exported and imported.

The Ministry of Posts and Telecommunications was in a position to demonstrate for example:

- The number of vehicles registered per day, week, month and year;
- The number of licences issued per day, week, month and year;
- The number of fines issued per day, week, month and year; and
- The number of accidents registered per day, week, month and year.

On its part, the Ministry of Finance could through the Computer Centre Department for example indicate:

- What the amounts were for the payment of salaries per week, month and per annum.
- The number of public officials paid per week, month and year.

These issues were among the qualifying considerations in making the choices with regard to the ministries that would participate in the piloting process. However, the results of the pilot study showed that the Government of Lesotho and the consultants chose the easy way out in the pilot study (Kingdom of Lesotho 2007: 214). The ministries in which the quantification of activities for assessment purposes was a complicated matter were excluded from the pilot study. Examples of such ministries are Foreign Affairs and Gender. Therefore, the complexities arising out of their functions could not be assessed or be appreciated before the rollout of a performance management system (Kingdom of Lesotho 2007: 25). The sampling of the pilot ministries was also not representative. There was no formerly chosen sampling procedure in the choice of pilot ministries. Choosing to pilot only three ministries out of eighteen did not result in a representative sample. This sampling problem was exacerbated by the fact that these were ministries that had straightforward quantifiable outputs. The following examples of complexities highlight the above observations:

The Ministry of Foreign Affairs, amongst others, deals with:
- **The international relations:** Harmonious coexistence and relationship of Lesotho with other countries.
- **International meetings, agreements and conventions**: Membership of Lesotho in international organisations to articulate the interests of Lesotho.

 Clearly, from the above example, it is difficult to quantify the impact of international relations and output of international meetings with respect to Lesotho interests. This complexity should have been considered.

On its part, the Ministry of Gender, amongst others accounts for:
- **Women empowerment:** ensuring that society regards men and women as equal socially and in other respects.
- **Gender-related legislation custodianship:** ensuring that the law enforcement agencies and the public understand, and observe the gender-related laws and regulations.

It has to be noted that the empowerment of women as a performance standard cannot be easily quantified. Even if other criteria to measure women empowerment can be devised, this cannot be measured on a daily, weekly and monthly basis as indicated in the pilot ministries. These are the complexities that should have been given due attention and focus before a performance management system was implemented by the Government of Lesotho.

4.4.6 Results of the piloting exercises

The piloting of a performance management system took ten months. It provided evidence that there was a need for further training on:

- The development of clear job descriptions for employees;
- The institutionalisation of the strategic planning concept amongst the employees; and
- Management to strengthen the capacity of managers and supervisors to implement a performance management system (Kingdom of Lesotho 2007: 214 and IDM 2003: 14).

Further training and education on how to cascade departmental objectives to lower levels of management, develop work plans, and how to supervise effectively were apparent needs to be addressed after the pilot study (IDM 2003: 14). The ten months piloting exercise was a short time. The introduction of an important concept such as a performance management system with its transformational and far reaching consequences requires ample time to ensure that all important factors are duly taken into account. The results of the piloting exercise revealed that more time should have been taken to pilot the new system, and additional ministries should have been included to produce reliable sample results. These glaring handicaps were not taken seriously by the Government because it decided to roll out the implementation of the PMS without first implementing all the recommendations of the pilot study (Kingdom of Lesotho 2007: 214).

4.4.7 Roll-out of a new performance management system

The Government of Lesotho realised that almost all the public servants were eager to have a new performance management system in place (Kingdom of Lesotho 2007: 214).

Some of the concerns that were revealed during the piloting of a performance management system were addressed by the Ministry of the Public Service. These were addressed by conducting intensive training of public servants on the requirements and expectations during the implementation of a new performance management system. It was, therefore, decided that in the year 2000 all public servants should implement a performance management system. All the ministries were expected to ensure that the implementation of a performance management system is rolled out and duly sustained. It is worth explaining that rolling out a system or a project means that preparations are being made to implement such a system or a project at wider scale than during the pilot stage. Therefore, rolling out is more of a decision to implement at an increased scale. In the case of Lesotho, it meant a decision by the government to implement performance management system in the entire Public Service. This led to the implementation of a performance management system by all the public servants in the Public Service of Lesotho. Pearsall (2001: 1241) provides a precise definition of rolling out by pointing out that to roll out means to "launch" or "unveil" a project or a system and this is a precursor to the process of implementation.

4.5 THE IMPLEMENTATION OF A PERFORMANCE MANAGEMENT SYSTEM IN THE LESOTHO PUBLIC SERVICE

The implementation of a performance management system was executed fully in 2000 after the Cabinet decision that it should be completely operational. Emphasis was laid on the need to align a performance management system to the ministerial strategic plans and objectives (Kingdom of Lesotho 2007: 214). It is worth noting that during the implementation of a performance management system not, all the ministries had completed their strategic plans (IDM 2003: 17). At that stage, most of the ministries were still being assisted with the process of designing their strategic plans. This means that most public officials were still grappling with the new concept of strategic planning while other public officials had no clue of what strategic planning was all about (IDM 2003: 13). It can be inferred, therefore, that the implementation of a performance management system was undertaken without ensuring that all the playing fields were levelled. It will

be noted in this chapter that a performance management system model that was chosen was good but could not be implemented properly.

4.5.1 Stages of implementation

The stages of implementation of the PMS in Lesotho were as follows (Kingdom of Lesotho 2000b: 111-112 and IDM 2003: 10-17):

> a) Training of public servants on the purpose of the PMS, its application and implementation.
>
> b) Addressing the concerns of the public officials during the introduction of the PMS.
>
> c) Promulgation of the legal framework within which the PMS would operate.

The stages above highlight the manner in which a performance management system was implemented in the Public Service of Lesotho. The details of these stages will be a subject of the ensuing paragraphs.

4.5.2 Training

Training on a performance management system is fundamental for managers and supervisors on the one hand and subordinates on the other (Ford 2004: 555; IDM 2003: 15 and Caruth and Humphreys 2008: 28). Training assists the employees to appreciate the following issues about a performance management system (IDM 2003: 16):

> - Subordinates get to know how to prepare for performance appraisals and how to give constructive co-worker feedback.
>
> - Appraisers get to know how to conduct two-way, interactive performance appraisal interviews.
>
> - Appraisers get to know how to write clear, coherent and convincing performance appraisals.

The above were the objectives of the training that was organised for the public officials during the introduction of a performance management system. It is argued that the role played by the Ministry of the Public Service in the training of the public officials on how to apply a performance management system was pivotal (IDM 2003: 15). The Ministry of the Public Service together with its partners trained the public officials and was

responsible for drawing training schedules, securing training venues and was initially responsible for paying the training costs.

4.5.2.1 Training on the differences between an old and a new performance management system

During the training sessions that were held for the public officials throughout the country by a performance management system task team, it was stressed that, amongst others, a new system would be different from the old one by providing the following benefits (Kingdom of Lesotho 1995b: 2-4 and Kingdom of Lesotho 2007: 23):

- There would be development of clearly stated goals and a better understanding of the roles of each ministry (This implied use of strategic planning reports).

- Promotion of harmonious supervisor and employee (supervisee) relations would be enhanced through regular discussions and feedback.

- There would be assurance that appraisal (assessment) of public officials would be carried out in a fair and objective manner.

- A climate of continuous improvement and an ongoing focus on improvement of skills and processes would be the basis of a new system.

- A new system would assist in the efforts of reorganising the public service departments, and introduce focused training programmes based on the real needs of the individual public employees.

- A new system would enhance human resources management through a more customized appraisal or assessment system that would be focused on quality and continuous improvements.

- A new system would introduce modern management principles in the public sector, and would adapt to conditions that prevailed and were unique to every ministry or department.

- A new system would be applied to all public officials except those holding statutory positions and politicians.

- A new system would be focused on achievements of specified targets more than conduct of public officials. Issues of conduct would be dealt

with in the Code of Conduct enclosed in the Public Service Act. This would be a clear departure from the Confidential Report regime that emphasised conduct of public servants more than their performance.

It is worth mentioning that as early as 1975, the Government of Lesotho had a report that detailed the differences, merits and demerits between the confidential reporting system, and the open appraisal system (Litjobo 2004: 5 and Thabane *et al.* 1975: 70). The report tabled its arguments in the manner presented in Table 4.1 below:

Table 4.1: Differences between a confidential reporting system and an open performance management system

Confidential reporting system	Open performance management system
Focus on rating employee behaviour	Focus on evaluating performance
No interviews	Performance review interviews mandatory
Assessments confidential to employee	Assessments open to employee
Supervisor's role is that of a judge	Supervisor's role is that of a helper and a coach
One rating form for all employees	Different forms for management and non-supervisory employees
Annual reporting at the end of year	Frequency and timing of reporting flexible.
Employee has no right of redress	Employee has a right of redress

Source: Adapted from Thabane *et al.* (1975: 70), Kingdom of Lesotho 2007: 18 and Kingdom of Lesotho (1995b: 2-4).

Reference to the above table during the training sessions was often made, as it depicted the fundamental differences of the two performance management styles. The contents of the above table formed a comprehensible summary of the nature and application of these two systems.

4.5.2.2 Training methods

The introduction of a new performance management system was done through campaigns, in the form of seminars and workshops, amongst others, for all public officials in all ten districts of Lesotho (Ramaqele 2006: 3). The training methods emphasised the classroom approaches, and had a little emphasis of practical application, brainstorming and role playing as training methods. The adult education training approach is usually the best method in the case of introducing practical subjects; however, it was not utilized. It has to be pointed out that during these training sessions, expert domination often manifested itself. The learners were in most cases mere receivers of the new and illuminating concepts. The final decision on important matters was always

that of the "experts" or "technical advisors" as they were called (Aminuzzaman 2007: 2). The experts were the bearers of knowledge and their word was final on the appropriateness and application of a performance management system. Even though the opinions and input of the trainees were solicited, the weight of their contributions was dwarfed by the experts' superior technical language and sophistication (Aminuzzaman 2007: 3 and Dzimbiri 2008: 13). These only lead to one conclusion; that the knowledge gained during these exercises was exerted in a top-down approach, and was consequently not effective (Dzimbiri 2008: 14-17). This will be proven by the concerns expressed during the research regarding the implementation.

4.5.2.3 Training of trainers

The training of trainers' method that was adopted during the introduction of a performance management system in the Public Service of Lesotho was chosen for the fact that it was a cost effective and rapid result-oriented approach (IDM 2003: 16). The training of trainers' method was used in such a manner that a group of public officials were trained by the experts, and this group in turn, trained other employees. This method was believed to be appropriate as the trained trainers would ensure sustainability during the implementation of the system after the experts had departed. The trained trainers continued to train their colleagues in their departments. The flawed side about the training of trainers' sessions was that certificates were not awarded to the trainees to motivate them and to assist them to train further on the basis of the proven preliminary knowledge they would have acquired. This demoralised the trained trainers because they had nothing to show for their hard work. It has to be noted that these trainers had their fulltime jobs, and training others was an additional task. There was no remuneration for this additional workload, and this naturally discouraged effort and dedication of these trainers. This was, amongst others, the key reason that led to the failure in the effective implementation of a performance management system. The training of trainers' method was expected to spread the knowledge and understanding of a new system more effectively than the other methods. The failure to effectively use this method crippled the introduction of a performance management system.

4.5.2.4 Peer groups training

The training of trainers led to peer group training sessions (IDM 2003: 116-18). The public officials in different categories trained each other and compared notes amongst themselves. This was different from the training of trainers in that the peers were not trained to train but were informally passing the knowledge amongst themselves. This was referred to as the peer groups training sessions. The peer group training sessions were informal as they focussed on officials of the same ministry and level exchanging ideas on what they understood to be correct about the new concepts that were contained in a performance management system. The public officials often met informally before appraisals commenced in order to check whether they understood the requirements that were specified in the appraisal forms. This gave them some confidence that at least the forms were understood and filled in uniformly. The importance of peers in the context of a performance management system is underscored by Ford (2004: 555), who argues that peers assist in supporting learning experiences and are helpful in enhancing trust. Peers assist each other to overcome some of their fears and mistrust of senior management (Ford 2004: 555).

The peer groups training could not be sustained, as it was informal and voluntary amongst the public officials. As a result, it withered away as weeks and months went by. This kind of training method was helpful during the introduction of a performance management system, as public officials who were slow to catch up with the concepts relied on their peers' tutoring and support. The fundamental differences between the peer group training, and the training of trainers' method, as earlier highlighted, is that the latter was formal and the former was informal. However, both methods were utilised for a short time. They both could not be maintained. There were no incentives to encourage the public servants to keep these training methods continuous.

4.5.2.5 Attitudes of public officials

The introduction of new ways of doing things is often received with a mixture of feelings (Wilkins 2006: 2-3; Smit and Morgan 1996: 12; Woodside and McClam 2002: 200 and Ngouo 2000: 106). This kind of behaviour has been recognised by Kroukamp (1999: 336)

who contends that the public employees often react to changes in a manner that manifests resistance. This is due to the fact that they may feel threatened, overwhelmed, helpless, aloof and powerless. Anxiety about the new phenomenon or total rejection thereof is often manifested in this case (Diamond 2003: 11). The introduction of the concept of a performance management system, despite an elaborate list of its merits and benefits to both employees and their organisation, received a very cool reception from other public officials, especially senior management level public officials in Lesotho (Litjobo 2004: 30). However, during the training sessions there were some public officials, especially the junior ones who were optimistic about the introduction of a performance management system (Kingdom of Lesotho 2003c: 12-13). The following were some of their attitudes, opinions, fears and discomforts (Kingdom of Lesotho 2003c: 13):

- Some managers felt they would lose respect or control of subordinates if they were required to discuss one to one, the targets, objectives, standards and time frames to achieve given tasks. It was difficult to break away from the habit of top-down decision-making and entrenched cultural practices.

- Some public officials formed an opinion that the new system would complicate their jobs because they had for a long time, got on well without having to show what they would be doing at a certain point in time, and did not have to quantify what they did as it was not quantifiable. Some went as far as to argue that it was impossible to measure government service.

- Some public officials protested that the new system was going to cause unnecessary chaos in the public service, especially in the cases where the supervisors and subordinates did not agree on performance issues.

- Some public officials totally welcomed the introduction of a new system on the premise that it would end prejudice and favouritism, and other unfair practices that supervisors easily applied on subordinates with the help of confidential reporting system.

- Some officials believed that the new system would enhance the morale and motivation of employees, productivity and accountability in the public service. Every public official would have specific targets and objectives to

pursue and attain. Achievement of set targets would be very rewarding to subordinates and failure would give the supervisees the impetus to try harder.

- Some officials were convinced that training needs would be identified in a more objective manner, as a result of the new system. The new system accommodates assessment of training needs of the employees. This would also get rid of favouritism in the training of public officials. Training during the confidential reporting system was based on whether the supervisor felt like allowing his/her subordinate to go for training or not. Training was not based on an objective needs assessment.

- Some officials opined that the new system would enhance communication amongst public servants at different levels. Management would, for the first time, care to know how employees were performing their duties and why they were performing in the way they did. Therefore, commitment to organisational and individual needs would be established and harmonised.

Smit and Cronjé (2001: 264) argue that resistance to change is a natural phenomenon which affects all human beings. Therefore, change has to be introduced carefully to avoid any serious disruptions (Clegg and Birch 2002: 114). The extent to which care and caution were taken during the introduction of a performance management system in Lesotho happened to be controversial, but training of public officials before the implementation of a new system was of value. However, this argument does not conclude that the training of public servants during the introduction of a performance management system was effective. This will be evaluated in the following paragraphs.

4.5.2.6 Measures to address employees' concerns and attitudes
Efforts were made to reassure public officials that a new performance management system would be beneficial to both the organisation as well as the employees (Kingdom of Lesotho 2003a: 29 and Kingdom of Lesotho 2005e: 6). A series of workshops and seminars and peer group discussions were held to discuss these issues (Kingdom of Lesotho 2003a: 29). Addressing the above concerns led to detailed lectures on the components, aims and benefits of a performance management system. The following

paragraphs will delve into the areas of concern with regard to the implementation of a performance management system.

4.5.3 Implementation: Areas of concern

There is still some resistance to fully and faithfully apply a performance management system in the Public Service of Lesotho by some of the key or senior officials (Kingdom of Lesotho 2007: 79-80). Their arguments for not appraising their subordinates range from claims that the system was time-consuming and was not fully negotiated by employees before it was implemented as it was imposed by the Ministry of the Public Service (Sekhamane 2006: 9). This has led to lower management levels being disillusioned about a performance management system as they follow their leaders' examples. Even though it is claimed (Ramaqele 2006: 10) that a performance management system has greatly enhanced public sector management in Lesotho, no evidence could be found from any scientific study (Kingdom of Lesotho 2004b: 26). This is mainly due to the fact that this system has up to date only been implemented for eight years. In the paragraphs that follow, attempts will be made to identify, analyse and highlight some of the areas of concern.

4.5.3.1 The legal framework

The implementation of a performance management system in the Public Service of Lesotho began 2000 following the publication of the **Public Service (Amendment) Regulations of 2000**. These regulations gave directions on how the ministries, departments, divisions and individual public officials should apply a performance management system. These regulations also outlined the categories of public employees that were exempted from a performance management system, namely persons holding statutory positions (Kingdom of Lesotho 2000b: 1-2). The regulations were followed by a number of circular letters from the Ministry of the Public Service, which clarified the processes and urged all employees to ensure that a performance management system should be put to use. It was expected, therefore, that implementation would meet insignificant hurdles, and in the event of such problems, the Ministry of the Public Service would be readily available to assist (Kingdom of Lesotho 2000c: 1-2).

There is a legal framework on which the implementation of a performance management system is based in Lesotho. It is based on the **Public Service (Amendment) Regulations (Legal Notice No. 21 of 2000), Public Service Act (Act 1 of 2005)**, the Public Service Regulations and circular letters (Kingdom of Lesotho 2000b: 111-112; Kingdom of Lesotho 2000c: 1; Kingdom of Lesotho 2005f: 22-23 and Kingdom of Lesotho 2005a: 21). The Government of Lesotho made a declaration stating that "there shall be a performance management system in the Public Service of Lesotho whose main purpose is to install an objective performance assessment and enhance public officers performance and productivity by promoting goal oriented performance" (Kingdom of Lesotho 2005f: 22). By virtue of this every public officer must prepare an annual individual work plan for each year, based on the job description of such a public employee and has to link this to the main goals and objectives of the ministry or department (Kingdom of Lesotho 2000b:111-112). The completed work plans must be presented to the Head of Department for performance appraisal.

This legal framework has a number of weaknesses that include being a powerless instrument in the sense that it does not enhance compliance with the implementation of a performance management system. It will be demonstrated in the following paragraphs how this legal framework fails to punish non-compliance, and also fails to reward compliance. Recommendations will be made on how to strengthen the legal framework and what other mechanisms should be put in place to enhance compliance.

4.5 3.2. Low management morale

The morale of senior managers in the Public Service of Lesotho was significantly low during the implementation of a performance management system (IDM 2003: 14). This was caused by, amongst others, too many vacancies, acting appointments and high staff turnover (IDM 2003: 14). The loss of experienced staff members who had a good understanding of a new concept of a performance management system had a negative effect on the implementation of the system. The fact that training of newly appointed staff members became an ongoing process, had a discouraging effect on senior

management. The continuity in respect of a performance management cycle was also hampered by the high staff turnover, which caused uncertainties among staff members. Vacancies that could not be filled on time had a strain on management capacity and strategies.

4.5.3.3 Inadequate knowledge and supervision skills

The importance of knowledge and supervision skills for the implementation of a performance management system cannot be overemphasised (Coutts and Schneider 2004: 69 and Kumar 2005: 2-3). This has proved to be true in the public service of Lesotho. Inadequate knowledge and supervision skills in this sector have contributed to the problems plaguing the implementation of the system (Kumar 2005: 2). It has to be recalled that the Public Service of Lesotho emerges from a confidential appraisal system as discussed in the previous paragraphs of this chapter to a current open appraisal management system. The skills required for the latter are complex and different from those that were required for the former. The introduction of a performance management system did not adequately prepare the supervisors for the new roles, requirements and tasks inherent in this system. It was taken for granted that the supervisors would automatically find their way through a new system during the implementation. This is not proper according to Caruth and Humphreys (2008: 28), who argue that any institution should avoid the error of assuming "…that, because information is contained in a supervisory or managerial handbook or is included in the company personnel policy manual supervisors and managers will automatically learn how to conduct effective appraisals". Training sessions during the introduction of a performance management system were limited to emphasising the meaning and aims of a performance management system to the detriment of the practical knowledge and supervision skills required for the implementation of a new system.

4.5.3.4 Absence of monitoring and evaluation structures

The Ministry of the Public Service is mandated to ensure that the implementation of a performance management system is successfully accomplished (IDM 2003: 15). However, there are no monitoring and evaluation mechanisms in place to track the

implementation situation on the ground in the public service (IDM 2003: 15). The Ministry of the Public Service waits for the line ministries to submit to it, the performance management system forms of their employees on a quarterly basis. There are no follow-ups, reminders or any persuasive attempts on the part of the Ministry of the Public Service to ensure compliance. The Ministry of the Public Service is resting on its laurels instead of being proactive in relation to the enforcement of the implementation of a performance management system (Kingdom of Lesotho 2007: 4). The Ministry of the Public Service does not, as a basic monitoring tool, produce any form of a report to indicate the status of the implementation of a performance management system. Whether the line ministries' compliance with the implementation of a performance management system is good or poor, there is no attempt on the part of the Ministry of the Public Service to provide this feed back (Kingdom of Lesotho 2007: 32). Monitoring and evaluation are the core pillars of a project life-cycle without which, the implementation direction cannot be determined. This is the situation affecting the implementation of a performance management system. The direction of the implementation of a performance management system in the Public Service of Lesotho cannot be controlled or determined, at the moment.

4.5.3.5 Lack of punitive sanctions for non-compliance

The implementation of a performance management system in the Public Service of Lesotho is not enforceable because there is no penalty for non-compliance to the **Public Service (Amendment) Regulations (Legal Notice No. 21 of 2000)** that urges the public servants to implement a new system. Whether a public official observes the stipulations of these regulations or he/she does not, nothing can be done to him/her (Kingdom of Lesotho 2007: 30-31). This has negatively affected the implementation of a performance management system because nobody feels compelled to ensure that they implement this new system as stipulated in the law. The enthusiasm of middle and junior managers has been dampened by a lack of support, commitment and encouragement by the senior managers, and added to this, is a lack of punishment for non-compliance (Kingdom of Lesotho 2007. 214).

4.5.3.6 Failure to reward compliance

The importance of rewarding compliance is emphasised by Laufer (2006: 242) who argues that "...rewarding compliance efforts offers powerful incentives. Corporations invest in compliance just as they commit capital to human resources, legal counsel, risk management, and insurance". However, with regard to a performance management system in the public service of Lesotho there is no reward for complying with its implementation (Kingdom of Lesotho 2007: 214 and IDM 2003: 19). This may be an indication that a performance management system is not a high priority it is purported to be.

It has to be noted that rewards could either be extrinsic or intrinsic. The intrinsic rewards relate to the internal needs such as spiritual, emotional, self esteem and satisfaction needs (Becton *et al.* 2008: 497). Extrinsic rewards relate to the financial and other material rewards. Rewarding compliance leads to confidence and motivation on the part of the person who is expected to comply (Densten 2006: 39). Rabey (2000: 21) remarks, convincingly, that "what gets rewarded gets done". Mohd-Sanusi and Mohd-Iskandar (2007: 35) conclude that incentives and rewards enhance individual employee effort to achieve increased levels of productivity. This is not taken into account in the implementation of a performance management system in Lesotho. Rabey (2000: 21) further shows that rewarding does not need to be only in monetary terms, there is a range of other rewards. The arguments outlined in this paragraph show that the Government of Lesotho has a choice of either rewarding compliance to a performance management system intrinsically or extrinsically. Rewarding compliance in the implementation of a performance management system in Lesotho is crucial.

4.5.3.7 Absence of performance standards

The absence of clearly articulated service standards for individual public employees and ministries has affected the implementation of a performance management system. A performance management system in Lesotho was based on broadly defined national and ministerial goals and objectives. It was very difficult for a majority of public officials to quantifiably illustrate their daily, monthly and yearly productivity targets or service

delivery standards (IDM 2003: 13). The old adage, "if you cannot measure it you cannot manage it" is still true in the Lesotho Public Service, especially in relation to the implementation status of a performance management system. As recently as 2008, the Ministry of the Public Service for the first time made attempts to address the problem of lack of service standards in the Public Service. The Ministry of the Public Service employees conducted training workshops for the public employees to introduce the concept of service standards to enhance implementation of a performance management system. The team tasked with this exercise was made of the public officials from the Ministry of the Public Service (Department of Management Services). The number of these public officials was less than ten people. These public officials were expected to introduce the new concept to almost 40, 000 public employees. As a result, the process was painfully slow and the effectiveness of the exercise left a lot to be desired.

4.5.3.8 Inability to integrate with national and departmental goals

Despite the clarion call made by the Cabinet in the Government of Lesotho to link individual goals and objectives with the national and departmental goals and objectives this has not been achieved. Neither the Cabinet nor the Ministry of the Public Service, as the performance management system custodians, has seriously pursued or persuaded the ministries to ensure adherence. The Cabinet released the national goals to be pursued only once in the financial year 2000/2001 and ever since it has never released any such goals. This was supposed to be an annual exercise, but it never became the case. Therefore, the inertia in the implementation also affected the political leadership, as manifested by the Cabinet inability to publicise the national goals in the following years. There were no mechanisms in place to ensure the harmonisation of a performance management system with the national and the ministerial goals by the individual public employees. This has reduced a performance management system to an isolated policy that does not link with the national or departmental needs and goals. Strategic plans that some ministries had developed could not be integrated into a performance management system. A performance management system failed to embrace the interdependence of all stakeholders as earlier indicated in Figure 4.2 above.

4.5.3.9 Lack of implementation confidence by managers

It has been established that the confidence of managers and supervisors to implement a performance management system in Lesotho is generally low (Kingdom of Lesotho 2007: 33). Most managers, especially those who joined the Public Service in the years between 2001 and 2007, are particularly prone to this lack of confidence in the implementation of a performance management system. Most, if not all, of these managers never received training on how to apply a performance management system (Kingdom of Lesotho 2007: 9). These managers and supervisors are expected to administer a performance management system despite their lack of training on its content, purpose and application. These managers are shooting in the dark because they do not have the requisite skills and knowledge (IDM 2003: 9). They do not have a yardstick to determine whether they are correct or wrong in their application of a performance management system. Currently, there are no prospects to indicate whether this particular problem will be addressed or not as the following paragraph will reveal.

4.5.3.10 Absence of in-house training for new appointees

There is lack of training for new employees at all levels about a performance management system (IDM 2003: 19). This has adversely affected the implementation of a performance management system because the newly recruited staff members, despite their level of management, do not know how and why to implement it. The training programmes that were conducted by the LIPAM stopped a number of years ago because departments did not send their new recruits. It is pointed out that due to negligence, or a total sabotage of a performance management system, departments did not budget for training of their employees in that field, hence LIPAM could no longer run programmes under that subject (IDM 2003: 9). It has to be noted that the refresher training was also affected in the sense that those public officials who were trained during the introduction of a performance management system never received a refresher or a follow-up training. This had a negative impact on the competency and motivation of these officials to implement a performance management system. Again, there was no serious attempt on the part of the Government of Lesotho and the Ministry of the Public Service, specifically, to revive training for its employees.

4.5.3.11 Outdated training materials

It has been acknowledged by some studies such as the **Performance management Review Report of 2003** and the **Installing and Rolling out Performance Management in the Lesotho Public Service-Needs Assessment Report of 2007** that the performance management system training materials in use are outdated and incompatible with the contemporary Public Service challenges in Lesotho (IDM 2003: 10 Kingdom of Lesotho 2007: 14). The training materials that were developed during the introduction of a performance management system a decade ago are still used to train the public officials in Lesotho today. The rarity of the training sessions, as earlier indicated, discourages the trainers to develop new training materials. There are no incentives for trainers to be innovative due to a decline or lack of would-be-trainees. The training materials do not address the problems besetting the implementation of a performance management system in the Public Service (IDM 2003: 10). It can be concluded that these training materials are not only outdated, but prove to be irrelevant to the implementation of a performance management system in the Lesotho Public Service. They are truly out of touch with the current realities of a performance management system in the public service of this country. There is, therefore, a need to revamp these training materials and to ensure that public officials are trained in the numbers that would encourage trainers to focus not only on the improved training material, but also on the improved implementation of a performance management system in Lesotho (IDM 2003: 10).

4.5.3.12 Failure to cascade appraisal from management level to subordinate level

In 2007, the Government of Lesotho commissioned a study that was financed by the Commonwealth Secretariat and led by the Botswana National Productivity Centre to diagnose the real causes of sluggish implementation of a performance management system in Lesotho (Kingdom of Lesotho 2007: 214). The study revealed that most ministries and departments failed to cascade a performance management system from senior management to junior levels. This has manifested itself by the reluctance of senior managers to appraise the performance of their subordinates (IDM 2003: 17). This has spiralled from top to the lowest bottom of the public service. Most senior managers made excuses such as that of not having adequate time to appraise their subordinates as the

system is time-consuming, and does not fit well with the public service culture and encourages erosion of the supervisory authority (Kingdom of Lesotho 2007: 214).

4.5.3.13 Outdated guidelines

The guidelines on the application of a performance management system in the Lesotho Public Service are outdated. These guidelines, in the same way as the training materials, were formulated during the introduction of a performance management system more than a decade ago (IDM 2003: 4). The guidelines of a performance management system were meant to serve the following purpose (Kingdom of Lesotho 1995b: 2-6):

- Outline the objectives of a performance management system.

- Define the meaning of a performance management system.

- Establish the relationship between a performance management system and the public service laws, codes and regulations.

- Provide the contents and application of a performance management system.

These guidelines were published in 1995, but were never reviewed or revised since then (Kingdom of Lesotho 2007: 23). These guidelines are, therefore, not informed by the current challenges facing the implementation of a performance management system in the Public Service (Kingdom of Lesotho 2007: 23). It has been observed that these performance management system guidelines are (Kingdom of Lesotho 2007: 23):

- Too broad and not easy to follow.

- Outdated and have to be revised to put them in line with the current challenges besetting in the public service.

- Not in keeping with the human resource management realities, therefore, have to incorporate amongst others the rewards for public officials who perform well.

- Not informed by the Lesotho Vision 2020, which is the overall planning guide for Lesotho Government and a national guide towards development.

It has to be noted, once more, that the Ministry of the Public Service and the Government of Lesotho, have not yet shown any keen interest to address the problem of outdated performance management guidelines.

4.6 CONCLUSION

In this chapter discussions and explanations on the socio-economic, political and geographical context of Lesotho have been made. The size of Lesotho Public Service, in terms of its employee's numbers, has been highlighted. The processes leading to the implementation of a performance management system have been outlined. The components of a performance management system in the Lesotho Public Service have been highlighted. The literature that has been used in this chapter is diverse, as it includes both Lesotho and international publications. This chapter has highlighted the weaknesses pertaining to the introduction and implementation of a performance management system in the Public Service of Lesotho. It has been shown that the role played by the Ministry of the Public Service as the custodian of a performance management system leaves a lot to be desired. Therefore, the situation of the implementation of a performance management system in Lesotho is in dire need of a comprehensive revamp. The Government of Lesotho has to strengthen its commitment to the implementation of a performance management system.

CHAPTER FIVE
RESEARCH METHODS

5.1 INTRODUCTION

It is important to outline the research methods when an empirical study of a given phenomenon is to be undertaken. This assists the reviewers and those who may wish to study such a phenomenon further to take into cognisance the approach that was used so that they may improve on it. The foregoing argument provides the main reason for a chapter on research methods. Chapter Five, therefore, deals with the research methods that will be used to conduct an empirical study on the performance management system in the Public Service of Lesotho, especially its impact on accountability. The meaning of the concept research, what constitutes research and types of research is tackled in this chapter. The research methods such as quantitative and qualitative research are defined. The statistical research methods are defined and the methods that were used in this thesis are indicated. Sampling as a research technique is defined. Different types of sampling approaches are outlined and the choice of the sampling approach that was utilised in this study is provided. The issues about determining an appropriate sample size are dealt with.

The survey, as a method of gathering data, and the design and construction of a questionnaire as a component of a survey is discussed. The concepts of sample representativeness, validity and reliability are explained. The data analysis tools that were used in this thesis are also mentioned. Towards the end of this chapter, a brief summary on the choice of research methods which was utilised in this study is made. The summary is meant to put together in one paragraph the selected research methods in this chapter. Lastly, conclusion on this chapter is made.

5.2 MEANING OF RESEARCH

The meaning of the concept research is of much controversy and debate amongst the academics, research practitioners and commentators (Oulton 1995: 63). It draws myriad definitions by a variety of theorists and scholars (Radford and Goldstein 2002: 252 and Hammersley 1995: 102). Hammersley (1995: 102), Janes (1999a: 212), Liang (2006: 70),

Muneenam (2006: 76) and Radford and Goldstein (2002: 252-254) provide the following definitions of research:

- Research is an activity directed towards the accumulation of knowledge within a discipline.

- Research is a process of a search for (and processing of) information which occurs in a range of circumstances, not just in universities, publicly funded institutes and commercial research organisations but also in government bureaucracies, news media agencies, political parties and pressure groups.

- Research is an activity carried by all of people in all walks of life when faced with a problem for which a solution seems to depend on obtaining relevant information.

- Research is a way of articulating and supporting knowledge claims and also an important means of adjudicating between competing knowledge claims.

- Research is a strategy to convince a sceptical audience that what has been found is valid and accurate. Therefore, it is a pertinent component of a strategy for persuasion.

- Research is a process of exploring, describing, understanding, explaining, predicting, changing, evaluating and assessing aspects of a certain issue.

- Research is a way of trying to answer a question about the nature of things in an organised, recognised, replicable way, and having results accepted by the targeted audience.

- Research is a rigorous, systematic inquiry or investigation, and its purpose is to validate and/or refine existing knowledge and to generate new knowledge.

One agrees with the conclusion of Johnson (1994: 3) who states that research is a "…focused and systematic enquiry that goes beyond generally available knowledge to acquire specialised detailed information, providing basis for analysis and elucidatory comment on the topic of inquiry." The above definition of research leads to an important question whose answer is also controversial and remarkably debatable. This question is: What constitutes scientific research?

5.3 WHAT CONSTITUTES SCIENTIFIC RESEARCH?

Hammersley (1995: 2) shows that scientific research refers to the "quantitative measurement and experiment" or "statistical manipulation of variables" as a predominant mode of research. Scientific research recognises the interdependence of social research methods to natural science methods or statistical manipulations. Scientific research aims at providing conclusions which are believed to be objective and factual; that means, they are premised on proof, facts and truth (Radford and Goldstein 2002: 255). Näslund (2002: 329) strongly attests that it is wrong to conclude that only a quantitative research can be classified as "scientific research". Qualitative research is also scientific in nature, even though it does not rely on measurement and quantification of the phenomenon under the investigation (Eldabi *et al.* 2002: 66 and Flick 1999: 258). The two concepts of quantitative research and qualitative research will be defined in the ensuing paragraphs.

The difference between quantitative and qualitative research lies in the approaches employed by these two types of research (Liang 2006: 87). The debate into the appropriateness, rigour, validity, relevance, reliability and trustworthiness of either qualitative research or quantitative research is still of great controversy among academics and research practitioners (Näslund 2002: 329; Given 2006: 378; Gummesson 2007: 130 and Cassell and Symon 2006: 5). A detailed analysis of the two approaches (quantitative and qualitative research methods) will be dealt with in the ensuing paragraphs.

Mouton (1996: 17-18) and Eldabi *et al.* (2002: 64) insist that any research that has been completed through use of acceptable scientific research methods and is building on pre-existing tradition in a scientific discipline could be regarded as scientific research. Scientific research is any researched product that strives for objectivity, truth and rationality (Mouton 1996: 26). This argument by Mouton (1996: 26) on the contents of scientific research is graphically depicted in Figure 5.1 below

Figure 5.1 Contents of scientific research

Scientific Research Comprises

↓

TRUTH
Statements that establish stronger or weaker fits/approximations of the truth

↓

RATIONALITY
Accepted by the scientific community on the basis of rational evaluation and scrutiny

↓

OBJECTIVITY
Based on evidence derived from the application of objective methods/techniques
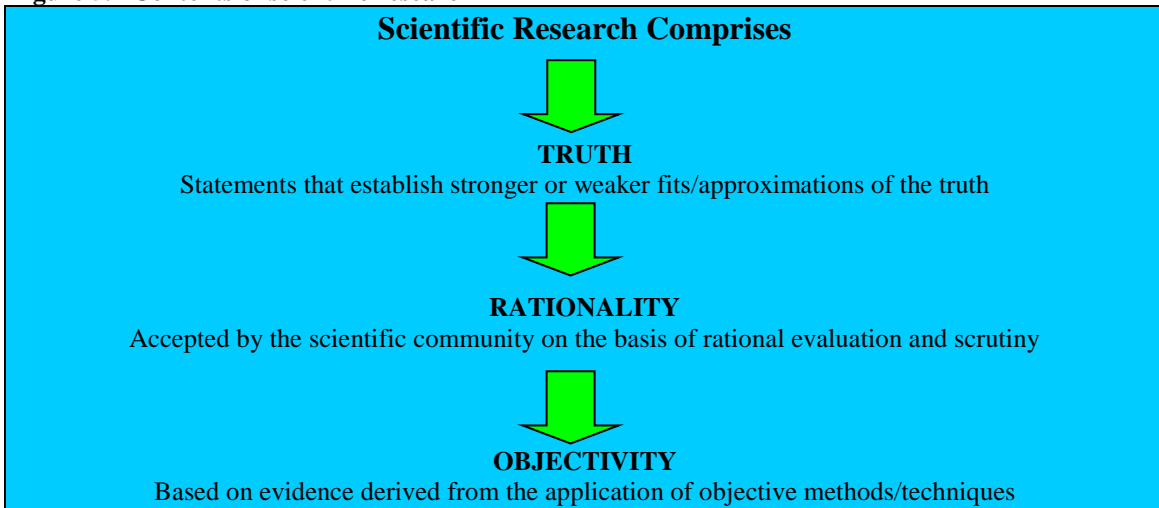
Source: Adapted from Mouton (1996: 32)**.**

5.4 RESEARCH METHODS

Method refers to a cautiously selected way of "approaching" the world so that it is appreciated (Sayer 1992: 12). Method is "a means or manner of procedure; especially, a regular and systematic way of accomplishing anything" (Van den Berg 2004: 20). Radford and Goldstein (2002: 252) argue that research methods can be equated to a "tool box" with a variety of "spanners" that can be utilized to fix a problem at hand. Research methods assist in directing researchers to honestly and correctly overcome their biases and reduce errors in conclusion of their findings (Alreck and Settle 1995: 56-59). This would lead to reliability, accuracy and validity of research findings (Synodinos 2003: 221).

Properly used, research methods are effective tools to unravel the truth and reality of the world (Van der Merwe 1996: 282 and Gummesson 2003: 486). Information or knowledge tapped from a properly researched source or from scientific evidence is held in high regard (Riege 2003: 77). Janes (1999a: 212), Given (2006: 377) and Johnson (1994: 171) argue that research methods are plans and designs of how a researcher investigates an answer to a question that he/she is faced with. This thesis will employ the use of questionnaires that will be employed to collect data. A sample of public officials will complete questionnaires. It would be impossible to gather information from all the public officials in the public service of Lesotho. The definition of a sample will be made

in the ensuing paragraphs. Since the number of employees is close to forty-thousand. Therefore, the cost and time that could be spent on this number of respondents could be overwhelming. There is a variety of research methods and the next paragraph will define the statistical research methods.

5.4.1 Statistical research methods

It is argued that statistics and research methods are inseparable, especially in regard to investigation and data collection (Stephen and Hornby 1995: 59). Statistical research methods assist researchers to analyse and weigh the data (Stephen and Hornby 1995: 59). There are two main types of statistics; namely descriptive and inferential statistics (Sayer 1992: 190; Royse 1999: 35-36; Oulton 1995: 66 and Stansfield 1995: 36). Descriptive statistics usually describes data in research (Sayer 1992: 191; Stephen and Hornby 1995: 61 and Flick 1999: 259). For Oulton (1995: 66) and Muneenam (2006: 118) descriptive statistics refers to simple tabulations, graphical displays (bar graphs and pie charts), ratios (median, mode, mean, range, and quartile), index numbers and averages, and this is basic but useful statistics for researchers. Inferential statistics deals with "probabilistic" or chance in data manipulation and interpretation of results (Royse 1999: 36). Inferential statistics refers to "standard deviation, probability theory and significant levels…square root of numbers…." (Oulton 1995: 66). An example of the difference between descriptive and inferential statistics is that the former provides the aggregation of the collected data characteristics while the latter provides probabilistic explanation of data based on the partial information that has been gathered (Bless and Kathuria 1993: 77). Descriptive statistics uses data aggregate to determine behavioural patterns while inferential statistics uses chance and probability to predict what will happen in future. Alreck and Settle (1995: 456) and Muneenam (2006: 118) further point out that inferential statistics refers to statistical computation which produces information on details of the sample such as facts and relationships so that inferences can be made about the population in its entirety. Muneenam (2006: 118) points out that even though descriptive and inferential statistics are different they can be used complementarily. This thesis will utilise descriptive statistics which is based wholly on the data that has been collected and will make this study easier to be understood by both statistical and non-statistical oriented readers.

It should be noted that statistical research methods are often concerned with "probabilistic", "chance" or "random elements" and this is mostly peculiar to inferential statistics (Sayer 1992: 191). Stansfield (1995: 41) concludes that even though use of statistical research methods is widespread, this may make data interpretation or findings dissemination difficult for an audience of non-statisticians. Research findings become inaccessible and sometimes irrelevant due to limited statistical knowledge. Oulton (1995: 66) agrees that inferential statistics which require a higher degree of mathematical skills can be intimidating to researchers and consumers of research findings. However, assistance can be sought from statisticians when needed (Oulton 1995: 66).

Frost and Stablein (1994: 133) refer to use of descriptive statistics as qualitative and quantitative research methods blending or simultaneous employment of the two methods. Flick (1999: 259), De Weerd-Nederhof (2001: 515) and Oulton (1995: 65) refer to simultaneous use of both qualitative and quantitative research methods as "triangulation". This is referred to as a complementary compensation to overcome weaknesses in both approaches (Jack and Raturi 2006: 345). Triangulation approach seeks to bridge the rivalry between qualitative and quantitative research methods schools of thought (Flick 1999: 259). The following paragraph will deal with the analysis of both qualitative and quantitative research methods.

5.4.2 Qualitative vis-à-vis quantitative research methods

Winberg (1997: 25-26) shows that quantitative research methods rely on data that is quantifiable, while qualitative research methods rely on information gathered from "people's own explanation, interviews, observations, eyewitness accounts…." Morris (2006: 121) and Given (2006: 382-384) add that qualitative research methods use primary and secondary documents (information collected from interviews, focus groups, case studies, diaries, observation, evaluation, the Delphi method, discourse analysis and visual analysis), while quantitative research methods use surveys, questionnaires (analysis records, bibliometrics, systems logs and content analysis). Gummesson (2003: 485), Ruffin (2007: 79) and Lekhetho (2003: 140) put it more succinctly that quantitative research methods refer to the interpretation of research findings by use of numbers, while

qualitative research methods refer to the interpretation of research findings through use of words or narration. Winberg (1997: 32 & 39) and Liang (2006: 88) explain that quantitative research deals with the mathematical figures while qualitative research uses descriptive methods in interpreting the social phenomena. It is argued that qualitative and quantitative research can be differentiated by the way each approach answers a research question (Coholic 2001: 63). This is depicted in Table 5.1 below:

Table 5.1: A summary of qualitative and quantitative research methods' attributes

Question	Quantitative research methods	Qualitative research methods
What is the purpose of the research?	To explain and predict To confirm and validate To test theory	To describe and explain To explore and interpret To build theory
What is the nature of the research process?	Focused Known variables Established guidelines Static design Context free Detached view Seeks to control phenomena	Holistic Unknown variables Flexible guidelines Emergent design Context bound Personal view Seeks to understand phenomena
What are the methods of data collection?	Representative, large sample Standardised instrument	Informative, small sample Observations, interviews
What is the form of reasoning used in analysis?	Deductive form of reasoning in analysis The meaning is derived from the subject's perspective	Inductive form of reasoning in analysis The researcher determines the meaning
How are the findings communicated?	Numbers Statistics, aggregated data Formal voice, scientific styles	Words Narratives, individual quotes, personal voice, literary style

Source: Eedle (2007: 83), Shaw (1999: 113) and Molefe (2004: 153)

This thesis will utilise quantitative research methods. Eldabi *et al.* (2002: 67) show that qualitative research methods make data analysis a time consuming exercise because many types of data collection instruments are used. This provides the reason why quantitative research methods will be used. The sample sizes will be determined and descriptive statistical research methods will be used to reach conclusions on given research questions. The aim of this thesis is to provide an empirical evidence of the state of a performance management system in Lesotho. In order to achieve a deductive research work use of the quantitative research methods is unavoidable as it will be explained in the subsequent paragraphs. The conclusion that will be reached on the status of a performance management system in Lesotho Public Service will be based on the

views of the subjects themselves not the researcher's views. This approach is deductive and calls for quantitative research methods. The following paragraph will explain the differences between deductive research methods and inductive research methods.

5.4.3 Deductive vis-à-vis inductive research methods

According to Frost and Stablein (1994: 133), Gummesson (2003: 489), Pentland (2000: 60) and May (1993: 22) qualitative research methods are inductive while quantitative research methods are deductive. May (1993: 22), Pentland (2000: 61) and Royse (1999: 14) further point out that a deductive research method is one in which a theory is developed before a research is conducted and an inductive research method is one in which research is conducted before a theory is developed. This means, on one hand, that the deductive research methods employ a theory that will be tested by research to provide empirical evidence to prove whether the theory was correct or wrong (Given 2006: 378; Van der Merwe 1996: 278; Gummesson 2003: 488 and Sakunasigha 2006: 82). On the other hand, an inductive research reviews a research and produces a theory at the end (Gummesson 2003: 488 and Van der Merwe 1996: 279).

5.4.4 Characteristics of the deductive and inductive research methods

Van der Merwe (1996: 278-279) points out that the deductive and inductive research methods are characterised by the following points:

a) The deductive research methods accentuate:

- Experimental control.
- Structured and replicable observation and measurement.
- Quantification and generalisation.
- The objective perspective of an outsider.

b) The inductive research methods emphasise:

- Unstructured observations and interviews.
- Ideographic descriptions.
- Qualitative analysis.
- Objectivity, which is seen as the inter-subjective predisposition of an insider.

It is clear from the above paragraph that quantitative research methods lead to a deductive research and qualitative research methods result in an inductive research. However, it has to be noted that it is widely agreed that there are three main typologies of research. These types of research will be discussed in the following paragraphs. They can be accomplished through use of either qualitative or quantitative research methods. This shows that research methods are mere tools towards achieving a certain type of research. This thesis will adopt deductive research methods. This is consistent with quantitative research methods which have been chosen as the approach that will be followed in this thesis.

5.5 EXPLORATORY RESEARCH

This is the kind of research in which very little or no information is available about the topic under investigation. Exploratory research responds to newly emerging concerns (Royse 1999: 24). Exploratory research is usually complemented by further research as it is a pioneer in a given field or topic of study. Exploratory research is complemented by a descriptive research. Van der Merwe (1996: 287) and Coholic (2001: 62) point out that an exploratory research seeks to pioneer a study of a relatively new topic. The objectives of this kind of a research are the following (Van der Merwe 1996: 287):

- To obtain new insights into the phenomenon.
- To conduct an introductory investigation as a forerunner to a more structured study.
- To elucidate central concepts and constructs.
- To establish issues for further research.

This thesis will be an exploratory research approach because it pioneers an empirical research on the subject of a performance management system in the Public Service of Lesotho. Descriptive research is the second type of research that will be discussed in the following paragraph.

5.6 DESCRIPTIVE RESEARCH

Descriptive research is a large scale study that attempts to provide detailed information about a research topic. It is a complement of exploratory research. It uses comparisons

such as percentages and proportions (Royse 1999: 24). Descriptive research seeks to clarify, in detail and as accurately as possible, the existing study or topic. This is accomplished in the following manner according to Van der Merwe (1996: 287):

- An in-depth description of a specific individual or a group is made.
- A description of the frequency with which certain characteristics occur in a sample is outlined.
- Statistical summary, which entails systematic classification of variables, is made.
- Correlations studies, which demonstrate relationship between variables, are conducted.

Explanatory research is the third type of research that will be discussed in the following paragraph.

5.7 EXPLANATORY RESEARCH

Explanatory research is the kind of research that seeks to earnestly scratch 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 (Sakunasigha 2006: 80). Explanatory research seeks to show the causality between variables or phenomena. It accomplishes this by the following (Van der Merwe 1996: 287):

- It expands on correlation studies and clearly delineates the trend of variables relationship.
- It is a combination of exploratory and descriptive research.

The following paragraph will indicate different methods of drawing a sample from a population for research purposes.

5.8 SAMPLING

Mosetse (2006: 151) defines sampling as the selection of a subgroup(s) from the main population in order to generalise the characteristics of that population. In order to address a research problem, it is common in both quantitative and qualitative research, that a sample of subjects be selected from the population under investigation. The sample represents the entire population and it is used to make generalisations about the

characteristics of the given population (Lethale 2005: 47). Therefore, it is safe to argue that a sample is a representation of the larger population.

Welman and Kruger (1999: 47) and Sakunasingha (2006: 92) point out 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. There are two kinds of sampling techniques and these are probability sampling and non-probability sampling (Sakunasingha 2006: 94). The probability sampling consists of the following elements (Welman and Kruger 1999: 46):

- Simple random sampling.
- Stratified random sampling.
- Systematic sampling.
- Cluster sampling.

The non-probability sampling consists of the following elements (Welman and Kruger 1999: 47):

- Accidental or incidental sampling.
- Purposive sampling.
- Quota sampling.
- Snowball sampling.

The above mentioned types of sampling will not be defined in this thesis. The aim for their mention was only to highlight the variety of methods that can be selected to sample the respondents for research purposes. However, stratified random sampling will be defined because it will be used to select public servants who will respond to the questionnaires in this study. Van der Waldt *et al.* (2002: 292) and Sakunasingha (2006: 94) define a stratified random sampling as the statistical research method in which the sample of respondents is broken down into "strata" or "subgroups" and then selected randomly from each stratum. O'Sullivan and Rassel 1995: 119-121) further show that stratified random sampling can be broken into two types, namely *proportionate* and *disproportionate* stratified sampling and this thesis will use proportionate stratified sampling. Proportionate stratified sampling requires that strata be made and the number of units in each stratum be in direct proportion to the population while disproportionate

stratified sampling requires that units in each stratum need not be similar or proportional to the population (Singleton *et al.* 1988). O'Sullivan and Rassel (1995: 121) argue that when conducting proportionate stratified sampling one has to decide on the sample size by conducting the simple random sampling for each stratum and use the proportionate percentage to determine the proportionate sample size. Disproportionate stratified sampling requires that the population be stratified, a sample size be determined and a decision be made on which units of the strata to be oversampled considering their significance or under-representativeness of a particular subgroup and the example of this is that of African American in the United States of America (O'Sullivan and Rassel 1995: 120-121 and Garson 2008: 5). Proportionate stratified sampling is more accurate, easier to compute and can be understood easily by both statistically inclined and non-statistically inclined individuals (Garson 2008: 5). This provides a basis for its use in this thesis.

For the purpose of this research the strata or subgroups that will be used will be composed of the following:

a) Sample drawn from public officers at Grade G-L (Senior management).
b) Sample drawn from public officers at Grade E-F (Middle management).
c) Sample drawn from public officers at Grade A-D (Operational level).

The Salary Bill, which is a list of all the public employees in the Public Service of Lesotho and is published by the Ministry of the Finance and Development Planning, will be used as a sample frame. A sample frame is defined by Welman and Kruger (1999: 47) as a "complete list" that contain elements of the sample, for example a telephone directory, mailing lists, lists of registered students, lists of drivers licence holders depending on the kind of research being undertaken can be examples of sample frames.

The sample will include public servants from Grade A (the lowest and highest grade in the Public Service of Lesotho) and Grade L (the highest and uppermost grade in the Public Service of Lesotho) as earlier shown. This is because a performance management system is applied in all these categories or grades. Therefore, in order to assess the impact

of a performance management system on accountability in the Public Service, it is necessary to include views of all the selected grades or categories of public servants. Welman and Kruger (1999: 56) assert that stratified random sampling approach is cheaper, representative, and effective even with small sample size. The next important issue is that of the sample size determination which is the subject of the following paragraph.

5.9 SAMPLE SIZE DETERMINATION

The determination of a sample size is one of the challenging exercises for researchers in all walks of life (Alreck and Settle 1995: 59 and Sakunasingha 2006: 92-93). This is because a balance has to be struck between the sample representativeness and validity of the result from a given type of study (Muneenam 2006: 118). Different methods of sampling have been highlighted in the foregoing paragraphs. It has to be noted that a stratified random sampling will be used in this thesis. Therefore, it is worth presenting the following compiled reference table on a proper predetermined sample sizes. Lekhetho (2003: 148) and Royse (1999: 160) provide in Table 5.2 the predetermined sample sizes:

Table 5.2: Sample sizes for different sizes of population

Population Size	Required sample size for tolerable error				
	5%	4%	3%	2%	1%
100	79	86	91	96	99
200	132	150	168	185	196
300	168	200	234	267	291
400	196	240	291	343	480
500	217	273	340	414	475
600	234	300	384	480	565
700	248	323	423	542	652
800	260	343	457	600	738
900	269	360	488	655	823
1000	278	375	516	706	906
2000	322	462	696	1091	1655
3000	341	500	787	1334	2286
4000	350	522	842	1500	2824
5000	357	536	879	1622	3288
6000	361	546	906	1715	3693
7000	364	553	926	1788	4049
8000	367	558	942	1847	4364
9000	368	563	954	1895	4646
10000	370	566	964	1936	4899
15000	375	577	996	2070	5855
20000	377	583	1013	2144	6488
25000	378	586	1023	2191	6938
30000	379	588	1030	2223	7275
40000	381	591	1039	2265	7745
50000	381	593	1045	2291	8056
75000	382	595	1052	2327	8514

Source: Lekhetho (2003: 148) and Royse (1999: 160).

The population size of employees in the public service of Lesotho is estimated at 40000. Therefore, from the adapted Table 5.2, a sample size of the public servants in Lesotho will be 381 employees and will be appropriate and acceptable as it is at a 95% confidence level or 5% tolerable error based on simple random sampling. Since the Public Service of Lesotho has three known categories as earlier indicated the simple random sampling procedure would result in unrepresentative sample. Therefore, this thesis will employ the stratified random sampling (proportionate stratified sampling); as a result, further random samplings will have to be conducted within the three layers of the public servants strata in order to overcome the differentials in numbers per each category so as to have a genuine stratified random sample as recommended by Alreck and Settle (1995: 70-72). It has to be noted that proportionate stratified sampling has a tendency to further reduce the sample size while it improves the representativeness of the samples within the categories

or strata (Alreck and Settle 1995: 70-72). It has to be remembered that stratified random sampling has two types of which proportionate stratified sample has been chosen for this thesis.

The three strata in the Public Service of Lesotho are made of 21, 212 operational level staff, 13, 787 middle management staff and 4, 998 senior management staff. Therefore, the following table computes the proportionate stratified sampling to determine a sample that will be used for this thesis:

Table : 5. 3 The proportionate stratified sampling determination of the sample

Stratum	Number of employees	Percentage of stratum members in sample fraction	Number in sample of proportionate stratified sampling
Senior management	4, 998	12,5%	31
Middle management	13, 787	34,5%	86
Operational level	21, 212	53%	133
Total	40000	100%	250

Source: Table created by the researcher for this study

The above table shows that for the purpose of this study a sample size of 250 public servants will be drawn as a result of the proportionate stratified sampling. Garson (2008: 6) observes that stratified sampling tend to result in a smaller sample size which is more representative, more precise and with reduced standard errors.

Royse (1999: 159) points out that "...the use of a 95 percent confidence level and 5 percent margin of error is pretty standard in the social sciences (sic)." Muneenam (2006: 121) agrees that in social research 95 percent confidence level is the most preferred standard. Muneenam (2006: 93) further suggests the following stages should be followed before a sample is determined:

- Define target population
- Select a population frame.
- Determine sampling design.
- Plan to select sampling units.
- Determine sample size.

The next important step after determining the sample size is the choice of the method that will be used to collect data. There are many methods of data collection and they also relate to the type of research approach being undertaken (Sakunasingha 2006: 98). The data collection methods include the following (Sakunasingha 2006: 98):

- Observation method.
- Experimental method.
- Survey method.

Quantitative and qualitative research approaches adopt different methods of collecting data even though they both sometimes borrow from each other in what was earlier defined as triangulation. However, in their purest form qualitative and quantitative research approaches utilise distinct methods of data collection. The fact that this thesis will adopt a quantitative research approach means that a survey method which is predominant in this approach will be used. It is therefore appropriate to define in detail what a survey is and what it is made of. This will be done in the ensuing paragraphs.

5.10 REPRESENTATIVENESS OF THE SAMPLE

Coyer (2004: 78) is of the opinion that representativeness of the sample relates to the inclusiveness and involvement of the research subjects. Stephen and Hornby (1995: 59) are emphatic in pointing out that effort should be made to ensure the sample is representative of the population under study. Janes (2001: 419) agrees that every researcher must grapple with the representativeness of his/her study sample. This means that the sample must be representative enough to ensure that the study results can with all confidence be extrapolated to the whole population (Janes 2001: 419 and Royse 1993: 33). This is one of the reasons why determining a sample size and utilising appropriate research methods are crucial (Janes 2001: 419). Royse (1999: 33) argues that if the sample is selected randomly "everyone has a chance of being selected" and this enhances representativeness of the sample. Al-Omiri (2007: 513) admits that "if a representative sample is chosen, the results have strong generalizability". Lekhetho (2003: 147) points out that even though sample representativeness issue is of controversy amongst researchers, an agreement is reached that when a sample is representative it reflects the characteristics of the wider population. Royse (1999: 278) points out that

representativeness is not a major concern in qualitative research as it is in quantitative research. Another important issue in research methods is data analysis. Data analysis will be discussed in the following paragraph.

5.11 SURVEY

Johnson (1994: 13) defines a survey as a mechanism of "eliciting equivalent information from an identified population" often through use of interviews or completing questionnaires. May (1993: 65) and Lekhetho (2003: 146) define a survey as a method of collecting data from a group (sample) in order to study about the wider set (population). Synodinos (2003: 221) and Johnson (1994: 18) argue that a survey is often the best approach for gathering data to assist management to reach worthwhile conclusions and make informed decisions. The use of surveys originated in the twentieth century when public opinion and marketing research dominated the public sphere (Synodinos 2003: 221). Janes (1999b: 321) adds that a survey is one of the best ways of "getting a picture of the current state of a group: a community, an organization, an electorate, a set of corporations, a profession." According to Van der Merwe (1996: 228) surveys have the following characteristics:

- They can accommodate any research goal, but they are usually descriptive or explanatory.
- They are usually representative.
- They are either longitudinal or cross-sectional.
- They are usually independent of a specific context (groups are statistically composed by means of sampling).

In order to collect data from a selected sample of public employees in the public service of Lesotho a survey method will be adopted. A survey as defined in the above paragraph helps in providing a picture about the behaviour of the larger population without having to necessarily study the whole population. This is the reason for using the survey method in this study. It will be expensive and time consuming to study the whole public service of Lesotho and its relationship with the performance management system. Janes (2001: 420) cautions that when a survey is chosen as a method of gathering data, a researcher should choose a survey method that has the ability to at least acquire a 50% return rate of

the total sample. Any return rate below 50% is not satisfactory and can lead to bias in research results (Janes 2001: 420). This argument leads to the discussion of the purpose of surveys.

5.11.1 Purpose of surveys

Alreck and Settle (1995: 3) and Janes (1999b: 321) point out that, surveys are conducted mainly for the following reasons:

- Surveys aim to influence or persuade some audience.
- Surveys want to create or modify a product or service provided to a particular public.
- Surveys seek to comprehend and predict human behaviour or conditions because it is the focus of their academic or professional work.
- Surveys seek to find out what is going on out there, what people are thinking or doing and how are things changing.

The following paragraphs will define the types of survey administration methods, their strengths and weaknesses will be outlined.

5.11.2 Types of survey administration methods

In order to undertake a survey one has to decide how it will be administered. There are a number of alternatives or methods of survey administration (Janes 2001: 419). This thesis will only explain the following dominant types of survey administration methods:

- Self-administered or mailed survey.
- Face to face or personal interview survey.
- Telephone survey.
- Online survey.

5.11.2.1 Self-administered or mailed survey

The self administered or mailed survey is composed of questionnaires that are sent and collected from respondents through the post, or hand-delivered to the respondents (Janes 2001: 420 and Al-Omiri 2007: 513). It is called a"self-administered" survey because the respondent is on his/her own when tackling the questions on the questionnaire (Al-Omiri 2007: 513). Evans and Mathur (2005: 203) and May (1993: 72) point out that the self-

administered or mailed survey is popular because of its inherent strengths such as the ability to cover large sample sizes, huge geographic coverage, lack of interview bias, limited time pressure on respondents, respondent anonymity and low cost of survey administration. However, like other survey methods the self-administered or mailed survey is plagued with weaknesses of delayed responses, non-responses, unclear instructions, items non-response (blank spaces, incomplete answers, inability to control the order in which the questions are answered). Synodinos (2003: 229) is emphatic that in a self-administered or mailed survey a clear date to return and collect the questionnaires from the respondents should be given. This thesis will employ self-administered or mailed survey as a mode of data collection because of its aforementioned comparative advantages. In this study the questionnaires will be hand delivered to respondents to ensure receipt thereof and collection after they have been filled. May (1993: 72) and Muneenam (2006: 102) show that when a questionnaire is self-administered or mailed, it should be accompanied by an introduction or a covering letter explaining purpose of the questionnaire stressing the need for cooperation and the anonymity and confidentiality of responds. Liang (2006: 120) agrees that the purpose of the covering letter or the introduction is to clarify the purpose of the study, assure respondents of anonymity and confidentiality and to solicit cooperation of the respondents. The covering letter will be sent together with the questionnaire to the respondents during data collection for this thesis.

5.11.2.2 Face-to-face or personal interview survey

The face-to-face or personal interview survey is another type of survey administration method in which data is collected through interview conducted by the researcher and on the respondent(s) (Janes 2001: 421). Face-to-face or personal interview survey has strengths which include personal interaction, ability to follow-up or clarify questions and ability to observe behaviour of respondents (Evans and Mathur 2005: 206). However, the face-to-face or personal interview survey has weaknesses such as being costly, enhancing interview bias, lack of anonymity, small sample coverage and respondent time pressure (Evans and Mathur 2005: 206 and Sakunasingha 2006: 102). Another disadvantage of the face-to-face survey is that the interviewer has to be trained in order to professionally and

neutrally ask questions and avoid "bias and noise in responses" (Janes 2001: 421). It is worth noting that the face-to-face survey method will not be used in this thesis for the following reasons:

- It will not ensure anonymity that this study intends to enforce.
- It will be costly to travel to meet respondents for interviews.
- The researcher does not have time to set appointments and travel to meet individual respondents for interviews.
- The researcher has not undergone formal training to acquire interviewing skills and even if this chance were presented there would be no time to attend to such training.

The following method of survey administration to be discussed is the telephone survey.

5.11.2.3 Telephone survey

The telephone survey is the other type of conducting a survey through use of a telephone (Cavert and Pope 2005: 139-140). The researcher conducts a telephone conversation with the respondents to elicit information on a given research problem (Cavert and Pope 2005: 139-140). Calvert and Pope (2005: 139) argue that a telephone can be more user-friendly than reading and writing because it only requires the ability to hear and speak. Conducting a telephone survey is faster because responses can be provided there and then (Calvert and Pope 2005: 139). Janes (2001: 419) points out that one of the weaknesses associated with telephone is that people do not readily respond to telephones interviews until they are convinced that it is not some prank or a joke being played on them. Calvert and Pope (2005: 141) add that not everyone owns a telephone line and this may create a bias in sampling. Calvert and Pope (2005: 143) and May (1993: 73) conclude that some of the weaknesses associated with telephone survey are the following:

- Respondents' refusal to respond to questions or the entire interview.
- No answers to telephones due to unavailability of the owners.
- Some people may have telephones but they do not appear on the telephone directory.

The telephone survey method will not be used in this thesis for the following reasons:

- It would be difficult to know the telephone numbers of all the respondents.

- The levels of respondents are varied and some respondents because of their employment level do not have direct office lines and individual office space. This would create difficulties when conducting interviews.
- It would take a long time to have an appropriate time to conduct interviews for individual respondents.

The last type of a survey administration method to be defined in the following paragraph is the online survey. This is the type of survey that has emerged as a result of the advent of the internet.

5.11.2.4 Online survey

The online survey refers to a survey conducted through use of the internet to gather data from the respondents (Ranchhod and Zhou 2001: 254). The e-mails are sent to an identified sample of respondents to answer a specific set of questions (Al-Omiri 2007: 514, Gunter *et al.* 2002: 231 and Evans and Mathur 2005: 195). The issues of non-response, concerns about the use of data collected online, privacy, security and spam blocking affect the online survey negatively (Evans and Mathur 2005: 196 and Gunter *et al.* 2002: 235). Unless the respondent has a functional email it is impossible to get his/her response and this affects sample representativeness of the online survey (Gunter *et al.* 2002: 232). It is further pointed out that the response rates of the online survey are poorer than other types of surveys (Gunter *et al.* 2002: 233). However, online survey still possesses some strength which can be considered when making a choice about the type of survey method to adopt (Evans and Mathur 2005: 196-197). These strengths include reduced surveying costs, virtual elimination of paper use as responses are rendered online, reduced data entry costs, ability to easily remind respondents to return their responses (Evans and Mathur 2005: 203). This thesis will not use the internet survey method due to the following reasons:

- It is will be difficult to get the emails of all the respondents.
- Not all public officials have access to internet at work. Even some of those that have access are not really used to emailing and such other uses of the internet.

- The idea of online survey is still new and for a country that is new to this technology, like Lesotho is, one cannot risk the consequences of employing this method in this study.

Amongst the instruments that are used to gather information for surveys, questionnaires are dominant. The following paragraphs will deal with questionnaires, their design, construction and pre-testing (pilot testing).

5.12 QUESTIONNAIRES

According to Johnson (1994: 172) a questionnaire is a research instrument for data collection. Questionnaires are a critical component of a social research according to May (1993: 65), Mtaita (2007: 59) and Synodinos (2003: 224). 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 have the willingness to respond to the questions (Callery 2005: 413). Liang (2006: 94) and Mosetse (2006: 148) point out that a questionnaire is the most popular instrument of data collection in quantitative research. This thesis will, in keeping with the quantitative research method that has been selected, utilise questionnaires to collect data. Callery (2005: 143) argues that questionnaires permit the respondents to carefully and thoughtfully arrange and present their responses. Liang (2006: 94) regards questionnaires as the most cost-effective and time-saving of all the data gathering instruments. This adds a good reason for the choice of questionnaires as the mode of data collection in this thesis. However, questionnaires have a weakness in that they require the respondents to be literate (Callery 2005: 143). However, in the case of the public employees of Lesotho literacy cannot affect the use of questionnaires as majority are highly literate and even the low level employees are fairly literate. Janes (2001: 419) argues that in order for questionnaires to be effective they should be as brief as possible (every question should have a purpose).

The questionnaire that will be developed will conform to the quantitative nature of this study as it will use mainly closed-ended questions and use to a limited extent open-ended questions as explained by Ruzzene (2002: 118). Mosetse (2006: 156) asserts that "closed-

form" questions are easy to code and score, and are suitable for large samples. The sample size of this study is 250 respondents and it is large enough to warrant use of closed questions as argued earlier. Janes (1999b: 322) warns that use of open-ended questions should be resorted to when the answers to a question are many and that it should be noted that analysing this type of questions is time consuming and a difficult task. Synodonis (2003: 228) emphasises that open-ended questions are tiring to the respondents as they require additional effort from them and often result in vague and useless responses. Synodonis (2003: 228) and Denscombe (2007: 166) further show that closed-end questions are easy for respondents to tackle and easy to code and analyse. In this way closed-ended questions are helpful to both the researcher and the respondents. Denscombe (2007: 166) further shows that the use of both the closed-ended and open-ended questions can minimise the disadvantages that are inherent in both. This is the premise on which the use of both close-ended and open-ended questions will be based in this thesis.

5.12.1 Questionnaire design and construction

The issue of questionnaire design and construction is an important one in research methods literature (Sakunasingha 2006: 104). A number of issues have to be critically observed during questionnaire design and construction. Key amongst these issues are the following (Janes 1999b: 322-324 and Synodinos 2003: 226-230):

 a) Language and wording of the questions.
 b) Questions order or sequence.
 c) Linkage of the questions to the research objectives.
 d) Number of questions and their length.
 e) Questions' response choices (i.e. whether open-ended or closed-ended).
 f) Questions' pertinence to the audience or the respondents.

Synodinos (2003: 224) proposes the following summary in Figure 5.2 below as a guideline for constructing proper questionnaires:

Figure 5.2 Questionnaire construction process

```
                    ┌──────────────────────┐
                    │  Research objectives  │
                    └──────────┬───────────┘
                               ↓
                    ┌──────────────────────┐
                    │    Administration     │
                    └──────────┬───────────┘
                               ↓
                    ┌──────────────────────┐
            ┌──────→│    Questionnaire      │←──────┐
            │       │    construction       │       │
            │       └──────────────────────┘       │
            │                                       │
      ┌─────────────┐                        ┌─────────────┐
      │  Question    │←───────────────────→ │  Response    │
      │  wording      │                      │  choices     │
      └─────────────┘                        └─────────────┘
            ↕                                       ↕
      ┌─────────────┐                        ┌─────────────┐
      │  Question    │←───────────────────→ │  Other       │
      │  sequence     │                      │  considerations │
      └─────────────┘                        └─────────────┘
            │                                       │
            └──────→┌──────────────────────┐←──────┘
                    │  Questionnaire pre-   │
                    │  testing              │
                    └──────────┬───────────┘
                               ↓
                    ┌──────────────────────┐
                    │  Final version of the │
                    │  questionnaire        │
                    └──────────────────────┘
```
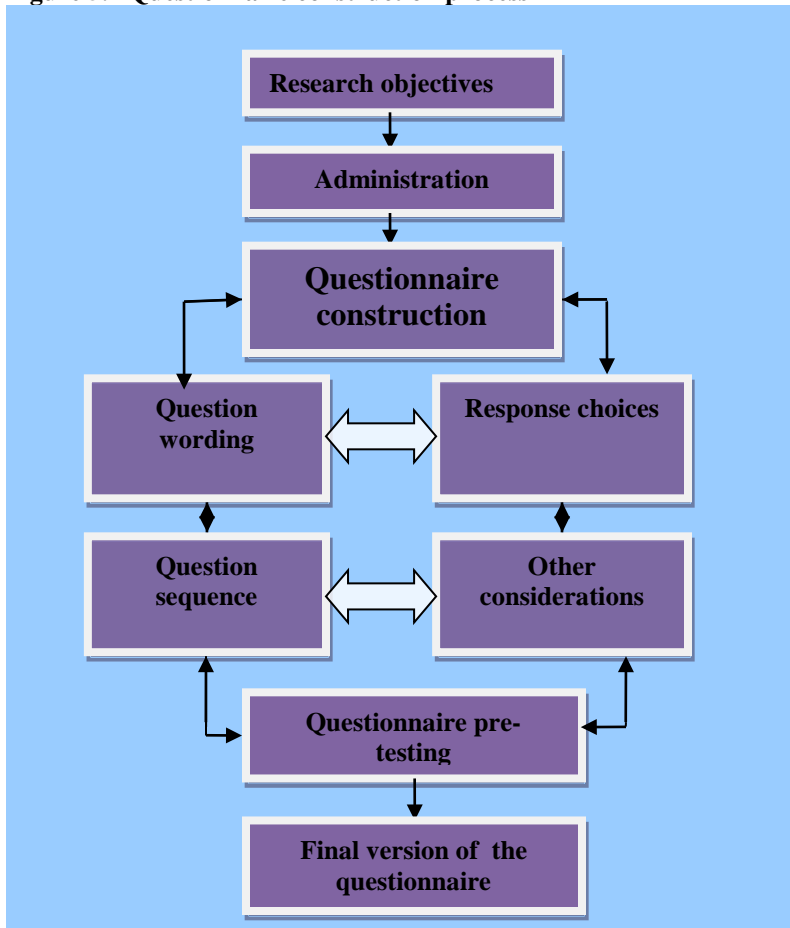
Another important component of questionnaire design and construction is the questionnaire pre-testing or pilot testing. This is the subject of the following paragraph.

5.12.2 Questionnaire pre-testing

Questionnaire pre-testing or pilot testing as other authors refer to it, is an important component of questionnaire construction (Johnson 1994: 40; Sakunasingha 2006: 111 and May 1993: 76). Questionnaire pre-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 (Muneenam 2006: 131-132 and Lethale 2005: 31). Reynolds and Diamantopouls (1998: 480) and May (1993: 76) agree that questionnaire pre-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. Pre-testing a questionnaire can be done through interviews or other survey administration methods (Reynolds and Diamantopouls 1998: 481). The questionnaires that will be used in this study will be pre-tested. A sample of five respondents will be selected to pre-test the questionnaire.   It will be observed whether the respondents understand the questions and whether the questionnaire addresses the objectives and purpose of the study (Sakunasingha 2006: 111). It has to be noted that literature does not indicate as to how many respondents should be used in the pre-test or pilot testing of the questionnaires. Sakunasingha (2006: 111) argues that "a pre-testing sample is a group of respondents selected on a convenience basis" not necessarily on a scientific sample size determination procedure. The number of pre-test sessions is of debate amongst authors, as others recommend a single pre-test while others recommend multiple pre-tests ((Reynolds and Diamantopouls 1998: 482). In this study a single pre-test will be conducted as an effort will be made to ensure a meticulous questionnaire design and construction with as few as possible or no errors at all.

5.13 RELIABILTY

Lutz (1983: 12) warns that every researcher and research findings' consumer should pay special attention to reliability and validity of the research findings irrespective of the research methods used because "if data are not reliable, they cannot be valid." Riege (2003: 81) describes reliability as the proof that the "operations and procedures of the research inquiry can be repeated by other researchers" and replicate the findings. Mtaita (2007: 62) and Ruffin (2007: 81) concur that reliability is another term for consistency and replicability of the research findings assuming that the same research techniques are used. Research reliability or replication of the research findings is most likely to happen in quantitative research done in qualitative research as a result 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). Lutz (1983: 12) defines reliability 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 in the same way 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. This assertion is supported by Ruffin (2007: 80) who asserts that due to changes in human behaviour, reliability plays little or no role in qualitative research as opposed to quantitative research. This study will strive to adhere to proper research techniques so that issues of reliability could be addressed.

5.14 VALIDITY

Validity according to Lutz (1983: 12) and Lupson (2007: 124) refer to the truthfulness of the research findings. Validity seeks to establish the accuracy of the findings and whether such findings can be generalised "across contexts" (Mtaita 2007: 61). Sakunasingha (2006: 114) defines validity as the extent to which a "measuring instrument" can measure that which it is purported to measure. Validity relates to the confidence that a researcher ascribes to the findings of his/her study (Sakunasingha 2006: 114). Validity can be broken into two types namely; external and internal validity (Mtaita 2007: 61). Validity in qualitative research differs from that of quantitative research (Ruffin 2007: 79). Validity in qualitative research refers to the extent to which the researcher, the participant and the readers declare the findings accurate, as statistical rigour is not relied upon in the case of qualitative research (Ruffin 2007: 79 and Coyer 2004: 77). Amongst other issues that have enormous bearing on reliability and research validity, representativeness of the sample is one. Representativeness of the sample will be discussed in the following paragraph.

5.15 DATA ANALYSIS

Data analysis refers to summarising the raw data from questionnaires or other data collection instruments in order to determine patterns and trends deciphered from the data (Royse 1999: 226 and Lejeune 2001: 380). Lethale (2005: 66) submits that data analysis refers to presenting collected data in such a way that it becomes useful and responds to the research problems. Data analysis can be carried out manually or with the assistance of computer programmes (Royse 1999: 226). This thesis will employ the Statistical Package

for Social Sciences (SPSS) to analyse data. This is a reliable research tool that is computer based and is used by many social science researchers (Sakunasingha 2006: 114 and Muneenam 2006: 152). On the process of data analysis, Sakunasingha (2006: 117) opines that data analysis is preceded by data editing, coding and entering. Computerised data analysis is faster and has fewer flaws than a manual one (Muneenam 2006: 116). Computerised data analysis compared to manual data analysis has an advantage of analysing huge amounts of data easily and well in time. Computers can perform more accurate statistical analysis compared to a person with a formula and a calculator (Royse 1999: 227).

5.16 SUMMARY OF THE RESEARCH METHODS CHOICE

This section seeks to summarise all the methods that have been selected for use in this study. Firstly, proportionate stratified sampling will be used to select a sample of 250 public employees that will be extracted from the Salary Bill. Secondly, a survey will be conducted and a self-administered method of survey will be used. Thirdly, a questionnaire will be constructed and be pre-tested before it is administered to the determined sample. Fourthly, descriptive statistics will be used to analyse the data. This thesis will follow an exploratory type of research that emphasises quantitative research techniques.

5.17 CONCLUSION

This chapter has managed to show that research methods are an important component of an empirical study. Research methods lead to the acceptability of the study results or its rejection. This chapter has indicated that different research methods are used to fit a particular type of a research. Quantitative research and qualitative research approaches utilise different research methods. However, the research methods can be used jointly in what is called "triangulation" in order to take advantage of the strengths that are inherent in one or both so as to overcome the weaknesses that are found in both research methods. This is particularly applicable in quantitative and qualitative research methods. The sample size has been indicated and a choice of data collection techniques has been made.

In conclusion this chapter has shown the scientific procedure that will be followed in order to make this study an empirical study.

CHAPTER SIX
DATA ANALYSIS AND RESEARCH FINDINGS

6.1 INTRODUCTION

This chapter aims to analyse the data that were collected from the public officials by means of questionnaires as part of the empirical study for this thesis. The meaning of such data will be discussed in this chapter. The findings as interpreted from the data trends and patterns are outlined. Tables will be used to present the data that have been collected. This chapter is based on the responses that were provided by the respondents who completed the questionnaires that were sent to them in their different ministries and departments. A conclusion is made on the basis of what has been found in this chapter. Therefore the following paragraph will deal with the issues of questionnaires.

6.2 THE QUESTIONNAIRES

A total of 250 questionnaires were distributed as a result of the sample size that was determined for this study. These questionnaires were hand-delivered and collected from the selected respondents. Three letters that assured the respondents about confidentiality, soliciting their participation and assuring them that the Government of Lesotho has authorised this study were sent together with questionnaires to all the respondents. The respondents were divided into three categories, namely senior management, middle management and operational staff. Therefore, two sets of questionnaires were developed to address the issues that were unique to operational staff, middle management and senior management. Senior management and middle management were given a similar set of a questionnaire while the operational management had a different set of a questionnaire from that of the former. The difference in these sets of questionnaires was one question that required a supervision role. The operational staff in this case did not have a supervision role and as a result asking supervision questions to this category would be inapplicable. This formed the basis for development of two sets of questionnaires. These sets of questionnaires were therefore labelled "*The survey questionnaire for operational staff*" and "*The survey questionnaire for senior and middle management*". The survey

questionnaire for operational staff had 62 questions while the survey questionnaire for senior and middle management had 63 questions.

6.2.1 Questionnaires structure

The questionnaires were divided into sections dealing with the following broad areas:

- Questions related to biography and employment questions.
- Questions related to a performance management system.
- PMS training and skills.
- PMS implementation.
- Status of PMS implementation.
- Work plans and targets setting.
- PMS and personal development.
- Feedback, monitoring, coaching and support.
- Reviews and ratings.
- Recognition and motivation.
- Questions related to accountability.
- Questions related to questions related to strategic planning.
- Questions related to the budget.
- Questions related to job descriptions.
- Questions related to communications strategies.
- Questions related to Government commitment to PMS.

6.2.2 Questionnaires delivery and collection

As earlier indicated the questionnaires were hand-delivered and collected from the respondents. A data gatherer was employed for this purpose. Two lists for respondents were made. These were for making it easy to trace and follow up on the respondents. The lists were labelled as follows:

- Respondents' register for follow-ups Grade E-L.
- Respondents' register for follow-ups Grade A-D.

Copies of these lists were given to the data gatherer to deliver, register and collect the questionnaires from the respondents. These lists had the name of the ministry or department, position, name and telephone of the respondents on them. This exercise made it easy to make follow-ups through telephone calls to check whether respondents have completed the questionnaires that were handed to them. The envelopes that contained the questionnaires had the telephone numbers of the researcher in case the respondents wanted clarifications or assistance. Some of the respondents called the researcher to seek clarifications.

6.3 QUESTIONNAIRES RESPONSE RATE

This study attracted a response rate of 74% for senior and middle management questionnaires, and a response rate of 47% for operational staff questionnaires. When both senior and middle management and operational staff responses were combined, this resulted in an overall response rate of 60%. It took two months to have the responses made and questionnaires collected from the respondents. The issue of the response rate is of fervent debate amongst the research practitioners and academics. Some scholars such as Al-Omiri (2007: 515) and Janes (2001: 420) believe that at least a 50% response rate is a basic requirement while other scholars such as Dunn and Huss (2004: 1048) believe that striving for a 50% response rate even when circumstances do not permit can bias the study because the research would be coercing the respondents to participate, and as such the responses may in most cases be invalid. Youngman (1979: 153) notes that the process of gathering data by means of questionnaires is laden with a number of problems such as different types of non-response (Questions refused, pages missed or even whole questionnaire not returned). In this case, a combination of follow-ups and finally deciding that enough time has been granted to the respondents, and as a result, no more responses would be demanded served to avoid biasing the study. Amongst other factors that contributed to this moderate response rate, the language barrier was pivotal. Most respondents at Grade A-C reported that they had difficulty understanding the questionnaire, especially because they were never trained on a performance management system. The researcher had presumed that given that the appraisal form was written in English, they would not have a problem with the questionnaire that was written in the

same language. The operational staff (Grade A-D) constituted 42.2% of the respondents while the senior and middle management constituted 57.8 of the same.

6.4 DATA ANALYSIS PROCEDURE

The ensuing paragraphs will outline the data analysis process and provide the research findings. Individual questions under each broad thematic area were analysed and discussed. The Statistical Package for Social Sciences (**SPSS**) computer-based research program was employed to generate data for analysis. Therefore, the following steps were pursued:

- Questionnaires coding.
- Responses coding.
- Data entry.
- Data analysis.

6.4.1 Questionnaires coding

The first step in the process of data analysis was to code the questionnaires. Coding the questionnaire involved assigning the codes to the different questions in order to enable the computer to differentiate between them and perform the necessary data manipulation when instructed. Coding in this sense was done using the codes that the SPSS Program could understand. This involved capturing the questions into the SPSS Program using the codes that would be understood by both the computer and the researcher. Therefore, a code book was produced enabled the researcher to apply the codes during the interpretation of the results.

6.4.2 Responses coding

This was the second in the data analysis process. This step followed the data collection process in which the questionnaires were collected from the respondents and the responses were coded in order to be entered into the SPSS program for analysis. This was done with the assistance of a trained person in the utilisation of the SPSS program. As indicated in the preceding chapter, coding of responses is a vital component of data analysis that utilises the computer-based research methods (Youngman 1979: 17).

6.4.3 Data entry

This is an important component of the SPSS program data analysis process. Data collected by means of questionnaires were entered into the computer for analysis. Once more, the assistance of the trained person in the use of the SPSS program was solicited for this purpose. All the responses that were gathered by means of questionnaires were entered in to the SPSS program for data analysis and interpretation at a later stage.

6.4.4 Data analysis

Descriptive statistics was chosen as a mode of data analysis in this thesis. Each question was analysed and responses analysed to show frequencies for each occurrence. Tables were produced indicating the frequencies of response categories. The following paragraphs deal with data analysis. The ensuing paragraph deals with all the questions in the questionnaires.

6.5 QUESTIONS RELATED TO BIOGRAPHY AND EMPLOYMENT

This section of the questionnaire had six set of closed-ended questions dealing with the biographical aspects of the respondents. This section was the same in both the senior and middle management survey instruments, as well as in the operational staff survey instrument. The first question to be dealt with in this section related to the name of the ministry and department.

6.5.1 Name of the ministry and department

This question asked the respondents to provide the name of their ministry or department. The following table provides the names of the ministries and departments that actually participated in this study.

Table 6.1: Names of the ministries that participated in the study

Name of ministry/ Department	Frequency	Percentage
Agriculture	2	1.2
Cabinet Office	4	2.4
Communications	4	2.4
Defence	4	2.4
Disaster Management Authority	2	1.2
Education	15	10.8
Finance	5	3.6
Foreign Affairs	2	1.2
Gender, Youth, Sports and Recreation	2	1.2
Government Printing	5	3.6
His Majesty's Office	4	2.4
Home Affairs	54	36.1
Health and Social Welfare	2	1.2
Labour and Employment	5	3.6
Local Government	7	4.8
National Assembly	2	1.2
Natural Resources	7	4.8
Office of the Ombudsman	5	3.6
Public Works	11	7.2
Senate	4	2.4
Tourism, Environment and Culture	4	2.4
Total	**150**	**100.0**

Table 6.1 shows the number of ministries and departments that participated in the survey by means of employees that completed and returned the questionnaires. From the Table 6.1 it can be argued that the Ministry of Home Affairs was leading in terms of the questionnaire response rate at 36.1%, followed by the Ministry of Education and Ministry of Public Works at 10.8% and 7.2% respectively. These ministries have larger populations of employees. This is probably why they had favourable response rates. However, it has to be pointed out that the Ministries of Agriculture and that of Health and Social Welfare are also big ministries in terms of the number of employees. Their response rates do not correspond with the size of employees they have.

6.5.2 Age

This question solicited the ages of the respondents and the scale ranged from 20 years to 60 years and above. The following table provides the age of the respondents.

Table 6.2: Age of the respondents

Age	Frequency	Percentage
20-30	38	25.3
31-39	34	22.9
40-49	38	25.3
50-59	38	25.3
60 and above	2	1.2
Total	**150**	**100.0**

The majority of the respondents (25.3%) were in the age groups of 20-30, 40-49 and 50-59, with the smallest frequency (1.2%) of the age group 60 and above as well as age group 31-39 years (22.9%). However, all the age groups that were supposed to be included in the study were represented. This gives the confidence that the opinions, views, beliefs and perceptions of all the age groups had been taken on board.

6.5.3 Gender

This question requested respondents to provide their gender as part of their biographical profiling. The following table provides the statistics pertaining to the gender of the respondents.

Table 6.3: Gender of the respondents

Gender	Frequency	Percentage
Male	60	39.8
Female	85	56.6
Missing responses	5	3.6
Total	**150**	**100.0**

There were 85 females and 60 males that responded to the survey as indicated in the table above. Males were 38.9% of the total population while females constituted 56.6% of the same population. This proved that females constituted the majority of the respondents in this study. There was, however, some missing data that constituted 3.6% of the

respondents. This came as a result of respondents who did not complete the section of the questionnaires that required them to state their gender.

6.5.4 Position title

This question sought to profile the job titles of the respondents. All the questionnaires that were sent to the respondents had the titles and names of ministries or departments of the respondents written on them. Position title served the purpose of identifying one respondent from another, especially within the same ministry or department. Another important question related to the identification of the respondents is that of grade of the respondent.

6.5.5 Grade

This question required the level of the respondent in the hierarchy of the Ministry/ Department. The grade is important in categorising an individual employee into senior management, middle management or operational staff. It should be recalled that Grade A-D represented operational level employees, while Grade E-F represented middle management employees and Grade G-K represented senior management employees. The following table indicates grades of the respondents.

Table 6.4: Grades of the respondents

Grade	Frequency	Percentage
A	2	1.2
B	18	12.0
C	16	10.8
D	27	18.1
E	4	2.4
F	36	24.1
G	20	13.3
H	16	10.8
I	4	2.4
J	5	3.6
K	2	1.2
Total	**150**	**100.0**

Table 6.4 shows that the majority of the respondents were on Grade F at 24.1% and this was immediately followed by those at Grade D at 18.1%, which represented middle and operational staff respectively. The first grade and the last one in this survey are the lowest in terms of frequency and percentage. It can be argued, therefore, that some grades were more represented than others in this study. However, it seems that every grade in the Public Service of Lesotho was represented with the exception of grade L which is the highest grade in the Public Service grading structure. This does not, however, jeopardise the results because that grade is occupied by only seven public officials according to the Public Service Establishment List, which contains a list of all the positions in the Public Service.

6.5.6 Date/ year of employment by the Lesotho Government

In this question respondents were asked to indicate the date of their first employment in the Public Service of Lesotho. This was meant to determine the duration of employment of the different respondents by the Government of Lesotho. The following table shows the number of years that the respondents have been under the Lesotho Government employment.

Table 6.5 Year of first employment into the Public Service

Year of Employment	Frequency	Percentage
1974	5	3.6
1975	2	1.2
1976	5	3.6
1977	2	1.2
1978	2	1.2
1979	5	3.6
1980	2	1.2
1981	4	2.4
1982	2	1.2
1983	5	3.6
1984	4	2.4
1987	7	4.8
1988	4	2.4
1989	2	1.2
1990	4	2.4
1991	2	1.2
1992	4	2.4
1993	2	1.2
1994	4	2.4
1995	4	2.4
1997	4	2.4
1998	5	3.6
1999	5	3.6
2000	5	3.6
2001	4	2.4
2002	11	7.2
2003	9	6.0
2004	5	3.6
2005	5	3.6
2006	13	8.4
2007	4	2.4
2008	9	6.0
2009	2	1.2
Total	**150**	**100.0**

It can be seen from Table 6.5 above that the majority of the respondents were first employed in 2006 at 8.4%, followed by those that were first employed in 2002 at 7.2%. All the years from 1974 to 2009 are represented in the above table with the exception of 1985, 1986 and 1996 respectively.

6.5.7 Highest educational qualifications

The question was necessary in the analysis of the respondents' biography. The question was formulated in order to assist the researcher to analyse the educational level of the individual employee. The following table shows the qualifications that respondents have in Public Service of Lesotho:

Table 6.6: Respondents' highest qualifications

Highest Qualifications	Frequency	Percentage
Std 7	11	7.2
Junior Certificate	7	4.8
C.O.S.C/GCE	34	22.9
Diploma	20	13.3
B. Degree	49	32.5
M. Degree	16	10.8
D. Degree	9	6.0
Other unspecified	4	2.4
Total	**150**	**100.0**

Almost 32.5% of the respondents were those who held a Bachelors Degree and second to them were those who held school leaving certificate (Cambridge Overseas School Leaving Certificate/ General Certificate of Education) at 22.9%. These were fairly knowledgeable people who could understand the requirements of the performance management system. It is worth noting that the respondents who held postgraduate degree constituted 16.8% in the survey and this also shows the quality of comprehension that could be ascribed to them. Respondents who held postgraduate degrees such as Masters Degrees and Doctoral Degrees comprised 10.8% and 6%, respectively. There was no doubt that they understood the questionnaire, and had a good idea of what the performance management system is all about, given the level of their educational qualifications.

6.5.8 The length of time in current position

The aim of this question was to ask for the length of time the respondents had been in their current position. This question was different from that in 6.4.6 because it was solely concerned with the current position while the former wanted to determine the overall

duration of individual public officials' length of employment in the Public Service of Lesotho. It should, therefore, not be construed as the duplication of the previous question on the basis of the aforementioned reasons. This was because the length of time in a position might influence the opinion of the position holder as a result of experience in the job. This was the last question under the respondents' biographical and employment questions. The table below indicates the respondents' length of time in their current position.

Table 6.7: Respondents' length of time in current position

Length of time in position	Frequency	Percentage
Less than a year	2	1.2
1 Year	18	12.0
2 Years	16	10.8
3 Years	18	12.0
4 Years	11	7.2
5 Years and above	85	57%
Total	**150**	**100.0**

More than half of the total population (57%) have been in their current position for five years and beyond. The second category is that of respondents who have been in their current position for one year and three years respectively, at 12% in both cases. The lowest is the number of respondents who have been in their position for less than a year at 1.2%. It can be assumed that at least 87% of the respondents have been exposed to a performance management system given the fact that these have been in their current position for 2 years and beyond.

6.6 QUESTIONS RELATED TO A PERFORMANCE MANAGEMENT SYSTEM

This broad area of the questionnaire had eight sub questions that were also divided into a number of related questions. It was the most comprehensive section in the questionnaire. This is because a performance management system was the core of this study. As a result of this, it was proper to interrogate it more intensively.

6.6.1 The performance management system training and skills

The researcher used this question to find out whether the respondents have been equipped with the requisite skills to implement a performance management system. This question had three sub questions that will be outlined in the following subparagraphs.

6.6.1.1 Have the respondent ever attended the PMS workshop/seminar/course

This question was constructed to establish whether the respondents have ever attended any type of training in the form of a workshop, seminar or course on PMS. Table 6.8 indicates the responses to the question.

Table 6.8: Respondents attendance of a workshop/seminar/course

Responses	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	11	60	71	47.0
No	47	27	74	49.3
Missing responses	5	0	5	3.6
Total	**63**	**87**	**150**	**100.0**

About 49.3% of the respondents, which was the majority of respondents indicated that they had never attended any workshop/seminar/course on the PMS. Even though this is a marginal difference to those who had attended (47%), the fact is that in this survey, the majority had not attended the required training on the PMS. It has to be noted also that 31.3% of the respondents at operational staff level, and 18% of both the senior and middle management had not attended any training. It seems that the majority of the public officials who have not attended training are those at the operational level. This may be a confirmation of the reports in Chapter Four that training on the PMS has not been done for a majority of the public officials, more especially, those at the lower echelons, and the newly recruited ones. This surely impacts negatively on the implementation of the PMS. It would be unrealistic to expect that public officials would fully implement the PMS if they never received any proper training on it.

6.6.1.2 The last time attended a workshop/ seminar/ course

This question was supposed to be answered by the respondents who gave an affirmative response to the preceding question. Table 6.9 provides the analysis of the respondents' length of time since attending last training.

Table 6.9: Last time respondents attended a workshop/seminar/course

Time last attended training	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
1-6 months ago	2	9	11	7.2
7months-1 year ago	1	6	7	4.8
Longer than a year ago	40	72	132	88
Total	**63**	**87**	**150**	**100.0**

Table 6.9 reflects that 88% of the respondents indicated that they had attended a workshop/seminar/course longer than a year ago. This implies that even though some respondents have attended some training on the performance management system, this has occurred in an inconsistent manner as deciphered from the time lapses before the next course was attended. It can, therefore, be argued that to have 88% of the public officials having attended the training on the PMS longer than a year ago implies that training on this subject is not really a priority by the Government of Lesotho. The minority of the respondents have attended training on the PMS comparatively recently, that is within 1-6 months ago to one year ago. In this minority the operational staff accounted for 1.3% while both senior and middle management comprised 6% of the total population. The responses above show that the frequency of training on this important matter is not regular or frequent enough. The analysis above again highlights that the operational staff lag behind in terms of numbers that attended training.

6.6.1.3 Degree of understanding the performance appraisal form

Respondents were asked to show on a scale of five responses what their level of understanding of the performance appraisal requirements was. Table 6.10 indicates the degree to which respondents understand the performance appraisal form.

Table 6.10 Respondents' degree of understanding the performance appraisal form

Degree of understanding	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all understand	11	3	14	9.6
Hardly understand	17	10	27	18.1
Somewhat understand	10	33	43	28.9
Well understand	18	33	51	33.7
Very well understand	4	7	11	7.2
Missing responses	3	1	4	2.4
Total	**63**	**87**	**150**	**100.0**

Table 6.10 shows that the majority of the respondents (33.7%) claim to well understand the performance appraisal form. Further analysis of this majority shows that operational staff accounted for 12% whereas both senior and middle management comprised 21.7% of the total population. The second highest number of respondents (28.9%) are those that claim to somewhat understand the performance appraisal form. The minority of the respondents (9.6%) were those that claimed to not at all understand the performance appraisal form. Therefore, it can be deduced that in this survey the majority of public officials understand the performance appraisal form even though there is a significant disparity amongst their levels of understanding.

6.6.2 A performance management system implementation

This question sought to understand the extent to which respondents implement a performance management system. This question has five sub questions that will be outlined in the following paragraphs.

6.6.2.1 Introduction and implementation of the PMS

This was an open-ended question that was intended to find out whether the PMS was well planned or not. The following paragraphs show both the responses of those who believed that the introduction and implementation of the PMS was well planned, and those who did not believe that it was well planned. Those who believed that the PMS was well planned argued that:

- "The supervisors can be in a position to review the work performed by their subordinates."
- "Even up to the present day ministries and departments still adhere to its implementation."
- "Problems were a result of lack of monitoring and evaluation of the system."
- "All echelons in the Public Service were trained".

Similarly those who did not believe that the PMS was well planned pointed out the following:

- "Even up to this day supervisors and subordinates have a problem in conducting appraisals, especially the use of the appraisal forms."
- "It does not form part of organisational management tools. It is used only to allow people to be promoted."
- "It was introduced hastily without adequate time for it to be understood by all the parties."
- "Even the facilitators during the training sessions were not certain of some facts about the system."

The above is a summary of the responses. It has to be noted that the majority of the respondents were of the opinion that the introduction of the PMS was not well planned. This constituted 63% of the respondents. The remaining 37% of the respondents believed that the system was well planned. This means that the majority of public officials do not regard the system as part of their contribution to the organisation.

6.6.2.2 Relevance of the current PMS to respondents' work

This question sought the opinion of the respondents on whether the PMS was relevant to their work. The following summary provides the responses of both the respondents who thought that the current PMS was relevant to their work, and those who did not think it

was. The respondents who believed that the PMS was relevant to their work argued in the following manner:

- "It reveals the strengths and weaknesses of an employee."
- "It shows ones input in the organisation."
- "It encourages dialogue between the supervisor and the subordinate."
- "It enables management to measure performance of an employee".

The responses of those who did not think that the current performance management system was relevant to their work were as follows:

- "It does not take into account the problems that are beyond the employee's control."
- "Some of its contents are not relevant to some of the employees. The form is the same for all types of jobs."
- "The nature of some employees cannot be measured."

It is worth noting that the majority of the respondents agreed that the PMS was relevant to their work. This constituted 78% of the respondents. The other 2% of the respondents claimed to be unsure. The remaining 20% did not agree that the PMS was relevant to their work. This implies, therefore, that the majority of the public officials embrace the concept of the PMS.

6.6.2.3 The last time respondents were appraised

The aim of this question was to understand when the respondents were last appraised. Table 6.11 provides a summary of the responses for this question.

Table 6.11: The last time respondents were appraised

Last time appraised	Frequency	Percentage
1-3 months ago	58	38.6
6 months ago	29	19.3
1-2 years ago	29	19.3
Not sure	34	23
Total	**150**	**100**

Table 6.11 highlights that 38.6% of the respondents were appraised between 1-3 months prior to the completion of the questionnaires, and 22% of this group represented operational staff members while senior and middle management constituted 16.6% of the total population. This seems to suggest that the operational staff appraisals were more consistently carried out compared to those of the senior and middle management. The respondents who were not sure about the last time they were last appraised represented 23%. Those who were last appraised between 6 months ago and 1-2 years ago constituted 19.3% in both cases. What came out clearly, though, was that the majority of the respondents had been recently (1-3 months ago) appraised. This may imply that the majority of the public officials were still appraised as required. This suggests that in the final analysis the PMS was working relatively well in the majority of government ministries.

6.6.2.4 The last time respondents appraised staff

This question related exclusively to senior and middle management. This was the only question that did not feature in the survey instrument of the operational staff as earlier indicated. Table 6.12 shows the responses.

Table 6.12: The last time supervisors appraised subordinates

Last time appraised staff	Frequency	Percentage
1-3 months ago	83	55.4
6months ago	23	15.7
1-2 years ago	13	8.4
Not sure	11	7.2
Missing responses	20	13.3
Total	**150**	**100.0**

More than half (55.4%) of the respondents holding positions of supervisors had appraised their staff within 1-3 months prior to the completion of the questionnaires. The second highest number, which is 23 (15.7%) indicated that their subordinates were appraised 6 months prior to the completion of the questionnaires. The total number of missing responses, and the respondents who were not sure as to when they last appraised their staff, made up to 20.5% of all the respondents. However, the total number of respondents who claimed to have appraised their staff amounts to 79.5%. This is a significant share of the total number of the respondents. It can, therefore, be asserted that the majority of the public officials appraise their staff. This may suggest that appraisals and performance reviews are indeed taking place in the Public Service of Lesotho. It seems that the opinions provided in this rubric are consistent with those in the previous rubric. This is revealed by the fact that in the previous rubric the majority of the respondents claimed to have been appraised within the last three months, and in this rubric the majority of the respondents claimed to have been appraised in the last three months.

6.6.2.5 Does the PMS implementation meet its objectives?

This question addressed the issue of whether the implementation of the PMS in the public service of Lesotho meets the objectives it was meant to achieve. The following summary indicates the opinions of respondents who believed that the implementation of a performance management system meets the objectives it was meant to achieve:

- "Because it encourages dialogue, transparency and staff development"
- "It enables the supervisor to keep track of subordinates' performance".
- "Because it assists in the planning of employees' work".

Reasons provided by those who did not believe that the implementation of a performance management system meets the objectives it was meant to achieve were:

- "Because it is biased";
- "Because there is no follow-up made on the appraiser and subordinate remarks"; and
- "Because most employees only fill the appraisal forms when applying for higher positions and need promotion".

The majority of the respondents (90%) did not agree that a performance management system has met the objectives it was meant to. The remaining 10% agreed that a performance management system met the objectives it was meant to.

6.6.3 The state of the PMS implementation

This question was asked in order to reflect on the state of the PMS implementation in the Public Service as perceived by the respondents. This status was to be understood in terms of whether the concept of the PMS was affected by the following:

- "Whether the PMS implementation was comprehensively embraced and understood by all the stakeholders?
- Whether ideologies and principles were applied as required?
- Whether the teething problems during its implementation were overcome?
- Whether it met the objectives it was introduced to meet?
- Whether challenges to its implementation identified and tackled?"

Table 6.13 highlights the state of the PMS as perceived by the respondents.

Table 6.13: Rating the state of the PMS implementation

PMS implementation status	Frequency	Percentage
Very poor	55	37.3
Poor	40	26.5
Reasonable	40	26.5
Good	13	8.4
Excellent	2	1.2
Total	**150**	**100.0**

The responses in Table 6.13 indicate that the majority of the respondents (37.3%) were of the opinion that the status of the implementation of the PMS was very poor. This may be a signal that the system is not applied as well as it should. The number of respondents who believed that the implementation of the PMS was good made a mere 8.4%. Combined, those respondents who opined that the status of the implementation of the performance management system was reasonable, good and excellent equalled only 36.1%. Compared to those who believed that the status of the implementation of the PMS

was very poor and poor accounted for 63.8% while those respondents with a positive outlook comprised 36.1% and was dwarfed by the former. This suggests that even though a significant number of the public officials adhere to performance appraisal schedules and periods of performance review, there was still a deep-seated perception that all was not well with the implementation of the PMS.

6.6.4 Work plans and targets setting

The aim of this question was to assist the researcher to understand the role of supervisors in drawing work plans and setting targets as part of the PMS. Table 6.14 indicates the responses in either affirmative or negative on whether the supervisor assisted in the outlined task.

Table 6.14: Supervisor' assistance in drawing work plans and setting targets

Response on assistance	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	27	47	74	49.4
No	33	36	69	45.8
Missing responses	3	4	7	4.8
Total	**63**	**87**	**150**	**100.0**

According to the responses in Table 6.14, the majority of the respondents (49.4%) agreed that their supervisors assisted them to draw work plans and in setting their targets. In this case, when calculated the operational staff accounted for 18.1% whereas senior and middle management comprised 31.3% of the total population. In the same vein, 45.8% of the respondents pointed out that their supervisors did not assist them in drawing their work plans and setting targets. Further analysis revealed that the operational staff in this case comprised 22%, while the senior management and middle management accounted for 23.8% of the total population. The total percentage of the respondents who disagreed was relatively close to the margin of those who responded in the affirmative. This seems to suggest that there are as many public officials who believe that their supervisors assist them to draw their work plans as those who did not believe so. There were, however,

4.8% of the respondents who did not respond to the question and were as a result treated as missing responses.

6.6.5 The medium of communication used by the supervisor

This question was used as a follow-up to the work plans and target setting question. This question was answered only if the respondent answered in the affirmative to the work plans and target setting question. This was an open-ended question, therefore, the following is the list of responses to the means of communication:

- Verbal/ oral communication.
- E-mail.
- Telephone.
- Written memorandum.

6.6.6 Work plans developed as a joint effort

This question was utilised to decipher the extent to which respondents opined that the process of drawing work plans was a joint effort between the supervisor and the subordinate. Table 6.15 below shows the opinions of the respondents on the development of work plans as a joint effort.

Table 6.15 Development of work plans as a joint effort

Joint effort on work plans	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	24	50	74	49.4
No	25	33	58	38.6
Missing responses	14	4	18	12
Total	**63**	**87**	**150**	**100.0**

The results in Table 6.15 show that the majority of the respondents (49.4%) perceived the development of work plans as a joint effort between the supervisor and his/her subordinate. Out of this 49.4% of the respondents, the operational staff accounted for 15.7% while the senior and middle management comprised 33.7% of the total population. This shows that a small number of the operational staff compared to the number of senior and middle management perceived the development of the work plans as a joint effort

between the supervisor and his/her subordinate. The Table 6.15 above further indicates that 38.6% of the respondents disagreed that the development of the work plans was a joint effort. The operational staff in this case comprised 17% while the senior and middle management comprised 22.9% of the total population. There were 12% of the respondents who did not respond to the question and were therefore treated as missing responses. It seems that the majority of the public officials (49.4%) view drawing of the work plans in a performance management system as a joint effort. In other words, both the supervisor and the subordinate seem to be playing their part in ensuring proper implementation of a performance management system according to 49.4% of the respondents.

6.6.7 Process followed in drawing joint work plans

This question was a follow-up to the question on work plans developed as a joint effort. This question was answered by the respondents who had affirmative response to the preceding question. The following is a list of processes the respondents pointed out as processes followed in drawing the joint work plans:

- "Submits annual work plan to supervisor for scrutiny and amendments where necessary and then discuss the plan together."
- "Hold performance planning meeting with the supervisor in the beginning of the year to review past plans in order to draw the new one."
- "Review relevant literature together with supervisor to inform the new work plan."
- "Studies the job description with the help of the supervisor so as to agree on specific targets to be achieved."

There were no missing responses in the above question because all the respondents who had to answer this question did.

6.6.8 Appraisal and review undertaken jointly

The aim of this question was to find out the extent to which the respondents perceived the process of performance appraisal undertaken as a joint effort between the supervisor and the subordinate. Table 6.16 indicates the responses that were given by the respondents on this question.

Table 6.16: Performance appraisal and performance reviews done jointly

Appraisal and review done jointly	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	47	58	105	69.9
No	10	24	34	22.9
Missing responses	6	5	11	7.2
Total	**63**	**87**	**150**	**100.0**

The responses in Table 6.16 show that the majority of the respondents (69.9%) perceived that the performance appraisal and performance reviews were carried out jointly between the supervisor and the subordinate. Percentage of the operational staff in the above instance constituted 31.3% while that of the senior and middle management was equivalent to 38.6% of the total population. The foregoing indicated relatively high percentage compared to those that were provided by the respondents who disagreed with the statement that performance appraisal and performance reviews were done jointly. This shows that the principles of a performance management system were generally upheld. The basic principle of a performance management system is that performance appraisals and performance reviews are done jointly and openly between the supervisor and the subordinate. This seems to be the case because only 22.9% of the respondents disagreed while 7.2% of the respondents did not respond.

6.6.9 Presence of performance standards for employees

This question was used to establish whether there were clearly formulated performance standards that the employees benchmark their performance against, as a requirement of a performance management system implementation. Table 6.17 depicts the responses to the question.

Table 6.17: Presence of performance standards for employees

Employee performance standards present	Frequencies			Percentage
	Operational staff	**Senior and middle management**	**Total**	
Yes	27	54	81	54.2
No	20	29	49	32.5
Missing responses	16	4	20	13.3
Total	**63**	**87**	**150**	**100.0**

According to responses in Table 6.17 the majority of the respondents (54.2%) agreed to the presence of the performance standards for employees. However, there still existed 32.5% of the respondents who pointed out that there were no performance standards for employees in their organisations. This means that 54.2% of the respondents met the performance management system implementation requirements in their organisation, whereas 32.5% of the respondents did not meet the requirements of the implementation of a performance management system. Further analysis of the responses indicated that, out of the 54.2% of the respondents who agreed that performance standards were available for employees, there was 18.1% of the operational staff and 36.1% of the senior and middle management who did not agree. In order for the performance management system to be implemented properly, there has to be clearly formulated individual employee's performance standards. A total of 13.3% of the respondents did not respond to this question.

6.6.10 Presence of performance standards for the ministry

This question was meant to help the researcher to ascertain whether there was overarching performance standards set for the whole organisation that the individual employees had to contribute towards their achievement. This has been shown in the literature review of this thesis to be a vital component of a performance management system. Table 6.18 shows the responses to the question.

Table 6.18: Presence of performance standards for the ministry

Ministry performance standards present	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	24	47	71	47.0
No	22	30	52	34.9
Missing responses	17	10	27	18.1
Total	**63**	**87**	**150**	**100.0**

The information provided in Table 6.18 shows that the majority of the respondents (47%) agreed to the presence of the performance standards in their ministries. Out of the above mentioned 47%, the operational staff comprised 15.7% while senior and middle management constituted 31.3% of the total population. It was noted also that 34.9% of the respondents pointed out that their ministries did not have performance standards. The issue of performance standards has been mentioned in the preceding chapters. It was shown that this was being newly introduced in the Public Service of Lesotho. Therefore, this could mean that some respondents did not have performance standards in their ministries due to the fact that they had not been introduced at the time of survey. This would, however, be surprising since performance standards are fundamental components of a performance management system. It is not clear how the Government of Lesotho introduced and implemented the performance management system without firstly developing individual and ministerial performance standards.

6.6.11 The PMS and personal development

This was an overarching rubric that contained two sub questions which were aimed at understanding the extent to which a performance management system influenced the personal and career development of the employees.

6.6.11.1 Attending a workshop/course/seminar or any training

This question was asked to sense whether the respondents attended any training session be it a workshop, course or seminar as a result of the recommendations that arose out of a performance management system implementation. Table 6.19 provides the responses to the question.

Table 6.19: Attendance of training as a result of a performance management system

Attendance of training	Frequencies			Percentage
	Operational staff	**Senior and middle management**	**Total**	
Yes	15	10	25	16.9
No	43	73	116	77.1
Missing responses	5	4	9	6.0
Total	**63**	**87**	**150**	**100.0**

Table 6.19 highlights that 77.1% of the respondents had not attended training as a result of the requirements of a performance management system. Out of this majority the operational staff constituted 28.9% while the senior and middle management comprised 48.2% of the total population. It was only 16.9% of the respondents who believed that they had attended training as a result of a performance management system training outcome. This shows that training was still not aligned to performance in the Public Service of Lesotho. The introduction of the performance management system in the Public Service of Lesotho was meant, amongst other issues, to have training premised on the training needs identified during implementation of a performance management system. This seems to be happening on a low scale. For example, only16.9% of the respondents reported to have attended training. In the survey it was only 6% of the respondents who did not respond to this question.

6.6.11.2 The PMS contribution to career progression and development

The aim of this question was to appeal for respondents' opinion on whether the PMS has had any contribution towards their career progression and development. Amongst other benefits, the PMS assists career progression and development of employees according to literature as earlier observed in Chapter Four. This was the rationale behind the formulation of this question. The table below will show the frequencies of both the respondents who believed that the PMS had contributed to their career development and those who did not believe it did. This was an open-ended question. As a result, a summary of responses showing reasons for believing that the PMS has contributed to the career development is reflected by the respondents as follows:

- "By recommending specific training needs to be attended as a remedy to poor performance."
- "Because supervisors are guided in respect of specific training needs and developmental needs of subordinates which they require for addressing poor performances."
- "Because the report has enabled the employee's promotion."

The reasons provided by those who did not believe that the PMS had contributed to their career progression or development were:

- "Because nothing written in the appraisal forms is taken seriously by the supervisors."
- "Because there is nothing tangible that results from the performance reviews."
- "Because there is no single training course attended as a result of this system."

It has to be noted that the majority of the respondents were of the opinion that the PMS had not assisted their career progression and development. This accounted for 91% of the respondents. It was only the remaining 9% of the respondents that felt that the performance management system had contributed to their career progression and development. This is not a good sign of the implementation of the PMS. One of its fundamental objectives is to ensure that the public officials' career progression and development are considered as an integral part of the PMS.

6.6.12 Performance monitoring, feedback, coaching and support

This was an overarching rubric that contained five sub questions that sought to establish the degree to which the current implementation of a performance management system in the Public Service of Lesotho adheres to the provision of feedback, performance monitoring, coaching and support. These four processes are crucial in the implementation of a performance management system according to the reviewed literature in this thesis. The first question to be analysed relates to monitoring performance.

6.6.12.1 Performance monitoring

This question was meant to verify how the supervisors monitored subordinates' performance as a performance management system requirement. The list below provides a summary of responses to the question.

- "My supervisor sits together with me quarterly to review how I have performed in the last three months".
- "By filling the appraisal form."
- "By giving feedback on my work."
- "By holding meetings weekly to assess performance."
- "By reminding me of the deadlines on specific tasks."

6.6.12.2 Frequency of feedback provision

The rationale behind formulating this question was to determine the frequency of feedback provision by the supervisors of the respondents. Table 6.20 below provides the responses.

Table 6.20: Frequency of feedback from supervisors

Frequency of feedback	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Weekly	10	6	16	10.8
Monthly	14	2	16	10.8
Quarterly	6	27	33	21.7
Biannually	0	5	5	3.6
Annually	3	10	13	8.4
Never	20	31	51	33.7
Missing responses	10	6	16	10.8
Total	**63**	**87**	**150**	**100.0**

According to Table 6.20, the majority of the respondents (33.7%) never received feedback on their performance from their supervisors. Out of this majority the operational staff accounted for 13.3% while the senior and middle management comprised 20.7% of the total population. This was followed by 21.7% of the respondents who claimed that

that their supervisors gave feedback on a quarterly basis. It is noteworthy that despite feedback being a crucial component of a performance management system, a significant number of supervisors did not adhere to this basic tenet. This suggests a number of issues about a performance management system in the Public Service of Lesotho. For example, even though the supervisors knew the requirements of a performance management system as proved in the preceding paragraphs, they did not want to implement a performance management system as required. Apart from the missing cases that accounted for 10.8% of the respondents who did not respondent to this question, the rest of other respondents who claimed to have been provided feedback account for an average of 7%. On the whole this shows that feedback is not being satisfactorily provided by the supervisors.

6.6.12.3 Supervisor coaching the subordinate

The aim of this question was to find out if the supervisors of the respondents had ever coached them in order to improve their performance as a requirement of a performance management system. Table 6.21 below provides the summary of the responses.

Table 6.21: Coaching by supervisors

Respondents coached	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	20	36	56	37.3
No	32	51	83	55.4
Missing responses	11	0	11	7.2
Total	**63**	**87**	**150**	**100.0**

The responses in Table 6.21 indicate that the majority of respondents (55.4%) did not get coaching from their supervisors. In the same vein, 21.7% of the operational staff and 33.7% of the senior and middle management did not receive coaching from their supervisors. The respondents, who claimed to have been coached, comprised 37.3% only. This shows that even though coaching was a major component of the implementation of a performance management system in the Public Service of Lesotho, this was not being effectively put into practice. The respondents who did not respond accounted for only 7.2%.

6.6.12.4 How does the coaching take place?

This question was meant only for the respondents who had an affirmative response to the preceding question. The questions tried to determine how the coaching takes place. This was an open-ended question and the following responses were received:

- "By means of suggesting the course of action that should be followed."
- "By means of holding meetings to review performance and provide guidance where there is a problem."
- "By means of setting example of how certain problems may be tackled and following up on whether the subordinate is utilising the suggested ways of solving problems."
- "By encouraging the subordinates to do their best within the given resource constraints."
- "By being exemplary to the subordinates on how to approach work problems".

6.6.13 Supervisor support

This question was asked to find out how the supervisor supports the respondent to achieve the set targets. That is why the respondents were requested to explain. The list below provides a summary of the responses to the question.

- "By sending the subordinates to the training courses that assist in improving their performance."
- "By caring to know the problems that subordinates encounter and offering solutions where possible."
- "By sharing their experiences with the subordinates in order for them to be able to tackle the problems they may encounter during the course of their work."
- "By providing the necessary resources that assist the subordinates to do their work properly".

6.6.14 Reviews and ratings

This rubric in the questionnaire was aimed at bringing the attention of the respondents to the important subject of performance reviews and ratings of performance. It consisted of five questions. These are outlined in the ensuing paragraphs.

6.6.14.1 Frequency of performance rating as a joint decision

The reason for this question was to determine the frequency of performance rating as a joint decision by the respondent and his/her supervisor. Table 6.22 provides the responses to this question.

Table 6.22: Frequency of performance rating jointly decided

Performance rating frequency	Frequency	Percentage
Always	50	33.7
Sometimes	20	13.3
Often	20	13.3
Rarely	20	13.3
Never	20	13.3
Missing responses	20	13.3
Total	**150**	**100.0**

About 33.7% of the respondents claimed to have always jointly, with their supervisors, decided on their performance rating. The remaining respondents who claimed to have sometimes, often, rarely and never jointly decided on their performance rating all had a share of 13.3% per category. There were missing responses that accounted for 13.3% as well. Generally, it seems joint rating during performance appraisal is being implemented albeit with inconsistency.

6.6.14.2 Tediousness of filling performance appraisal forms and reviews

This question was asked to establish the extent to which respondents believed that filling performance appraisal forms and reviewing performance as tedious processes in a current performance management system. Responses to this question are reflected in Table 6.23 below:

Table 6.23: Tediousness of filling performance appraisal forms and reviews

Views on forms filling tediousness or excitement	Frequency	Percentage
Very tedious	11	7.2
Tedious	29	19.3
Neutral	67	44.6
Exciting	18	12.0
Very exciting	25	16.9
Total	**150**	**100.0**

In Table 6.23 the majority of respondents (44.6%) chose not to give their opinion on the issue of whether the completion of performance appraisal forms was tedious or exciting. Combined together, respondents who found filling the performance appraisal form tedious and very tedious amounted to 26.5%. This was a lower number compared to the respondents who found filling the performance appraisal exciting and very exciting. The latter only had 28.9% share of the respondents. Therefore, a number of respondents found amusement in filling the performance appraisal forms. This was contrary to what was earlier highlighted in the preceding chapters, especially in Chapter Four, where majority of the public officials find filling the performance appraisal forms as a tedious process.

6.6.14.3 Frequencies of the performance reviews

This question was formulated to assist the researcher to request the opinion of the respondents on how often they believed the performance reviews should be conducted. The table below provides the responses.

Table 6.24: Preferred frequency of performance reviews

Preferred frequency of performance reviews	Frequencies	Percentage
Weekly	0	0
Monthly	26	16.9
Quarterly	85	56.6
Annually	14	9.6
Not at all	5	3.6
Missing responses	20	13.3
Total	**150**	**100**

More than half of the respondents 56.6% prefer to have performance reviews held quarterly. This preference seems to comply with what is taking place on the ground. The performance reviews are programmed to be undertaken quarterly according to a performance management system legislation. Therefore, the majority of the public officials seem to be comfortable with this arrangement. Those who prefer performance reviews to be held monthly and annually comprised16.9% and 9.6%, respectively. There were 13.3% of the missing responses, which represented the respondents who did not respond to the question.

6.6.14.4 Frequency of disagreements on performance rating

This question was used to establish the frequency of the disagreements between the supervisor and the respondent that arose as a result of performance ratings. The table below presents the responses that were given.

Table 6.25 Frequency of disagreements on performance rating

Disagreements frequency	Frequency	Percentage
Always	18	12.0
Sometimes	34	22.9
Often	7	4.8
Rarely	38	25.3
Never	53	34.9
Total	**150**	**100.0**

It has to be noted that 34.9% of the total population in the survey in the above table stated that they had never disagreed with their supervisors on their performance rating. Those who had always, sometimes and often disagreed with their supervisors about their performance ratings comprised a total of 39.7%. This was a lower percentage compared to those who rarely and never disagreed with their supervisors because this group accounted for 60.2%. This implies that the supervisors rate their subordinates in a manner that is acceptable. It cannot be readily argued whether this was a result of supervisors rating their subordinates in a manner that avoids conflict or not. It has been argued in the preceding paragraphs that the issue of performance rating is one of the most conflict-ridden processes in any performance management system. However, in the above case

this seems not to be the case. If the supervisors are meticulous in this process it can be argued that a performance management system in the Public Service of Lesotho is on the right path. It can also be argued that if the supervisors rate the subordinates in a manner to win their popularity, then a performance management system in the Public Service of Lesotho fails to meet the required standards.

6.6.14.5 Remedies at the subordinates' disposal during disagreements
The aim of this question was to know the remedies that the subordinates could use when they disagreed with their supervisors on the rating of their performance. The following is a summary of the responses that were made:

- "Invite the senior of the supervisor to intervene in the impasse."
- "Rely on reasoning out the facts with the supervisor."
- "Approach the Human Resources Department about the dissatisfaction."
- "Approaching the high authority about the problem so that the supervisor can justify their decision."
- "Sit down and iron out the issues with the supervisor".

The majority of the respondents, who constituted 73% of the total survey population, pointed out that they would involve a third person to intervene. Only 27% of the respondents pointed out that they would rather talk to their supervisors until a solution was found.

6.6.15 Recognition and motivation
This was the rubric in the questionnaire that had three questions dealing with the issues of recognition and motivation. The two issues are vital in the implementation of a performance management system. The first question to be analysed below deals with the issue of incentives as part of recognition of the employee.

6.6.15.1 Types of incentives provided by a performance management system
The aim of this question was to determine the type of incentives provided by a current performance management system as part of recognising the employees improved performance. Table 6.26 below provides the responses provided for this question.

Table 6.26: Types of incentives provided by a performance management system

Type of incentive	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Praise	5	6	11	7.2
Promotion	10	3	13	8.4
Other rewards	6	3	9	6.0
No rewards	10	31	41	27.7
Not sure	18	44	62	41.0
Missing responses	14	0	14	9.6
Total	**63**	**87**	**150**	**100.0**

Table 6.26 reveals that the majority of the respondents (41%) were not sure whether there were any incentives offered by a performance management system. The operational staff comprised 12% while the senior and middle management constituted 29% of the respondents who were not sure of whether there was any incentive offered by a performance management system. The respondents who claimed that there were no rewards offered by a performance management system constituted 27.7%. A cumulative percentage of the respondents who were not sure and those who claimed there were no incentives offered by a performance management system comprised a total of 68.7%. The remaining percentage of respondents who claimed that praise, promotion and other rewards were offered by a performance management system add up to 21%. This shows that the majority of the respondents have never come across any rewards offered by the system. A conclusion can, therefore, be made that a performance management system in the Public Service of Lesotho does not make rewards a central focus.

6.6.15.2 Opinion on a performance management system and the remuneration

The aim of this question was to solicit the respondents' opinion on whether a performance management system should be tied to payment or salaries. That means a good performer should get a remuneration that is based on such a performance according to the stipulated formula in this type of performance management approach. The responses on the questions appear in Table 6.27 below:

Table 6.27: A performance management system should be tied to the remuneration

Opinion on PMS tied to pay	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	34	44	78	51.8
No	5	15	20	13.3
Not sure	15	23	38	25.3
Missing responses	9	5	14	9.6
Total	**63**	**87**	**150**	**100.0**

More than half of the respondents (51.8%) yearned for a performance management system to be tied to rewards by means of the remuneration. Out of this 51.8% the operational staff had a share of 22.9 % while the senior and middle management comprised 28.9% of the total population. The second highest category in terms of percentage score was that of the respondents (25.3%) who pointed out that they were not sure whether the performance management system should be tied to pay or not. The respondents who did not agree with the idea of a performance management system being tied to the remuneration constituted only 13.3%. The missing responses were equal to 9.6% of the total population surveyed. It can be argued, therefore, that many public officials desire to have a performance management system tied to their pay. PMS is currently not tied to pay in the Public Service of Lesotho.

6.6.15.3 Motivation to implement a performance management system

This question was aimed to determine whether there was enough motivation for the respondents to implement a performance management system. Table 6.28 below provides the responses.

Table 6.28: Public officials motivated to implement a performance management system

Motivated to implement PMS	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	19	10	29	19.2
No	32	30	62	41.0
Not sure	10	24	34	22.9
Missing responses	2	23	25	16.9
Total	**63**	**87**	**150**	**100.0**

About 41% of the respondents reacted negatively to the question on whether they were adequately motivated to implement a performance management system. It was noted that 21% of the operational staff and 20% of the senior and middle management pointed out that there was inadequate motivation to implement a performance management system. This was followed by the highest second percentage of 22.9% attributed to the respondents who pointed out that they were not sure whether there was enough motivation for the public officials to implement a performance management system. Those respondents who agreed that there was enough motivation to implement a performance management system accounted for only 19.2%. The missing responses comprised 16.9%. These were the respondents who did not give an opinion on the above question. It can be summed up that the majority of the respondents did not agree that the public officials were motivated enough to implement a performance management system. It can be argued that it would be difficult for the Government of Lesotho to fully implement a performance management system if the public officials do not feel motivated enough to implement it.

6.7 QUESTIONS RELATED TO ACCOUNTABILITY

For purposes of determining the current state of affairs in respect of accountability in the PMS, a number of the questions have been designed. It is proper to interrogate these questions more intensively. The first question under this rubric deals with performance appraisal and accountability. This is the subject matter of the following paragraph.

6.7.1 Results of performance appraisal used to improve accountability

This question was asked to seek the opinion of respondents on whether they thought management of their ministries use the results of performance appraisal to improve accountability. Table 6.29 below provides the responses to the question.

Table 6.29: Results of performance appraisal used by management to improve accountability

Result used to improve accountability	Frequency	Percentage
Strongly agree	4	2.4
Agree	23	15.7
Neutral	52	34.9
Disagree	29	19.3
Strongly disagree	29	19.3
Missing responses	13	8.4
Total	**150**	**100.0**

The majority of the respondents (34.9%) in Table 6.29 took a neutral stance to the question that required their opinion on whether management in their organisation utilise the results of performance appraisal to improve accountability. The second highest score was that of the respondents who disagreed and those who strongly disagreed at 16% per each category. Those respondents who strongly agreed and agreed accounted for 2.4% and 15.7%, respectively. The numbers of respondents who disagreed and strongly disagreed were more than those who both agreed and strongly agreed. The former constituted 38.6% while the latter was only 18.1%. However, 8.4% of the respondents did not respond to the question. A conclusion can be made that the majority of the respondents disagreed to the opinion that management utilise the performance appraisal results to improve accountability. It seems, therefore, that the results of performance appraisal do not matter to the Heads of Departments (HoDs) in the Public Service of Lesotho. In the literature review, there were arguments that the results of the performance appraisal could be used to enhance accountability. However, this seems not to be the case in the Public Service of Lesotho as deciphered from the survey.

6.7.2 Performance management system effectiveness in addressing accountability

The rationale for this question was to establish whether implementation of a performance management system was effective in addressing accountability problems in the Public Service of Lesotho. Table 6.30 below provides the summary of the responses to this question.

Table 6.30: Performance management system effectiveness in addressing accountability

PMS is effective in addressing accountability	Frequency	Percentage
Strongly agree	9	6.0
Agree	20	13.3
Neutral	49	32.5
Disagree	29	19.3
Strongly disagree	23	15.7
Missing responses	20	13.3
Total	**150**	**100.0**

According to the responses in Table 6.30, the majority of the respondents (32.5%) chose to remain neutral instead of providing their opinion to the question on whether the current implementation of a performance management system was effective in addressing accountability problems in the Public Service of Lesotho or not. However, it has to be noted that this was followed by both those respondents who disagreed and strongly disagreed with a combined total of 35%. This was even higher than the number of respondents who were neutral. The cumulative percentage of the respondents who strongly agreed and agreed was only 19.3%. The missing responses accounted for 13.3%. Therefore, it can be safely argued that the majority of the respondents did not agree with the statement that the current implementation of a performance management system was effective in addressing accountability problems in the Public Service. This refutes the hypothesis that the implementation of a performance management system enhances accountability in the Public Service of Lesotho.

6.7.3 Supervisor accountability on rating performance

This question was asked in order to enquire from the respondents whether the supervisor can be held accountable for rating the subordinate's performance wrongly. Table 6.31 provides the responses.

Table 6.31: Supervisor held accountable on rating subordinates performance

Supervisor can be held accountable	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	20	11	31	20.5
Hardly	15	5	20	13.3
Somewhat	11	21	32	21.7
Strongly	10	21	31	20.5
Very strongly	6	10	16	10.8
Missing responses	1	19	20	13.3
Total	**63**	**87**	**150**	**100.0**

Table 6.31 shows that the majority of the respondents (21.7%) to a certain degree believe that their supervisors could be held accountable for wrongly rating the performance of their subordinates. Out of this majority, the operational staff constituted 7.2% while the senior and middle management comprised 14.5%. This majority was followed by the respondents (20.5%) who pointed out that the supervisor would not at all be held accountable for the rating they gave their subordinates and those who strongly believed that their supervisors could be held accountable for their ratings on subordinates'' performance at the same percentage point (20.5%). However, those who claimed that their supervisors could not at all be held accountable and could hardly be held accountable outnumber those who strongly and very strongly believed that supervisors could be held accountable. There were missing responses to this question and these amounted to 13.3% of the total population in the survey. The fact that the supervisors could not be held accountable on their rating presents a challenge to the implementation of a performance management system.

6.7.4 Is the PMS in the Public Service of Lesotho enhancing accountability?

The aim of this question was to establish whether in the opinion of the respondents the PMS was enhancing accountability in the public service of Lesotho. The following is a summary of their responses to the question.

- "Because it encourages interaction between supervisors and subordinates."
- "Because it encourages planning and performance review."

- "The PMS is enhancing accountability in the Public Service of Lesotho because it is based on the set standards of performance that have to be adhered to, failing which one has to be held to account."

The responses from the respondents who disagreed that the PMS was not enhancing accountability in the Public Service of Lesotho were as follows:

- "Because it is not properly monitored and implemented"
- "Because most of the time supervisors do not provide feedback as required."
- "Because the performance review forms are completed only when officials apply for promotion."

The respondents who did not believe that the PMS was enhancing accountability accounted for 86%, while those who agreed that the PMS was enhancing accountability constituted only 14% of the respondents. This, therefore, means that the majority of the public officials do not believe that the PMS in the Public Service of Lesotho enhances accountability. As stated in the preceding paragraphs, this refutes the researchers' hypothesis that the PMS applied by the Government of Lesotho enhances accountability.

6.7.5 Priority level of accountability in the current PMS

This question was asked to determine whether in the view of the respondents the implementation of the current PMS has accountability as a top priority. Table 6.32 provides the responses to the question.

Table 6.32: Accountability priority level in the current PMS

Accountability as a priority	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	20	9	29	19.3
Hardly	10	23	33	21.7
Somewhat	13	25	38	25.3
Strongly	11	16	27	18.1
Very strongly	1	4	5	3.6
Missing responses	8	10	18	12.0
Total	**63**	**87**	**150**	**100.0**

According to Table 6.32 reveals that 25.3% of the respondents somewhat believed that accountability is a top priority in the PMS. In this percentage score, the operational staff had a share of 8.4% while the senior and middle management accounted for 16.9%. The second highest score (21.7%) was that of the respondents who believed that accountability was hardly a top priority in the PMS of the Lesotho Public Service. The third highest percentage (19.3%) was that of the respondents who pointed out that accountability was not at all a top priority in the PMS. The fourth highest score was that of the respondents (18.1%) who believed that accountability was the top priority in the PMS. In total the overall percentage of the respondents who believed, despite the degree of conviction, that accountability was a top priority in the PMS constituted 68.7% of the respondents in the survey. There were 12% of the missing responses. Those who clearly dismissed the idea that accountability was a top priority in the PMS comprised only 19.3% of the respondents. Therefore, it can be argued that many public officials agreed that there was a link between the PMS and accountability in the sense that the latter was a top priority of the former. This finding is at odds with the preceding paragraphs that totally dismissed the PMS as enhancing accountability. However, the responses could be based on official intention of the PMS to have accountability as a top priority. On the ground, as earlier reported, this was not the case.

6.7.6 The PMS as a fair and reasonable measurement tool

This question was used to assist the researcher to request the respondents to reveal their opinion on whether they viewed the PMS as a fair and reasonable measurement tool. Table 6.33 provides the responses to the question.

Table 6.33: The PMS as a fair measurement tool

PMS as a fair measurement tool	Frequencies			Percentage
	Operational staff	**Senior and middle management**	**Total**	
Not at all	6	8	14	9.6
Hardly	3	11	14	9.6
Somewhat	15	27	42	27.7
Strongly	19	24	43	28.7
Very strongly	10	10	20	13.3
Missing responses	10	7	17	11.3
Total	**63**	**87**	**150**	**100.0**

Table 6.33 indicates that the majority of the respondents (28.9%) strongly agreed that the PMS was a fair measurement tool. The operational staff comprised 8.4% of the respondents who strongly believed that the PMS was a fair measurement tool while senior and middle management constituted 20.5%. This was immediately followed by the respondents (27.7%) who believed somewhat that the PMS was a fair measurement tool. The third highest percentage was that of the respondents who strongly believed that the PMS was indeed a fair measurement tool. The respondents who categorically dismissed the idea of the performance management tool as a fair measurement tool constituted 9.6% of the survey population. The latter together with the respondents who hardly believed that the PMS was a fair measurement tool were the lowest percentages in the survey. It can be summed up that the majority of the respondent agreed that the PMS was a fair management tool. It is worth remembering that the current PMS replaced the confidential reporting system that the public officials in Lesotho dismissed as unfair. Therefore, the results of the table above confirm the arguments that were forwarded in the preceding chapters that the public officials believed that the current PMS was fairer than its predecessor.

6.7.7 Supervisors holding subordinates to account for unsatisfactory performance

The aim of this question was to determine whether in the opinion of the respondents the supervisors held the subordinates to account for performance that is not satisfactory. This

question applied to both seniors and juniors who had been categorised as senior management, middle management and operational staff. Their views have been provided accordingly. Table 6.34 provides the responses to this question**.**

Table 6.34: Subordinates made to account for unsatisfactory performance

Supervisor holding subordinate to account	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	11	20	31	20.5
Hardly	5	11	16	10.8
Somewhat	12	17	29	19.3
Strongly	14	26	40	26.5
Very strongly	6	3	9	6
Missing responses	15	10	25	16.9
Total	**63**	**87**	**150**	**100.0**

According to the responses in Table 6.34 the majority of the respondents (26.5%) strongly believed that the supervisor could make the subordinates to account for their unsatisfactory performance. It was noted that 8.4% of the operational staff strongly believed that their supervisor could make them to account for their unsatisfactory performance while 18.1% of the senior and middle management believed so. However, the second highest percentage was that of the respondents (20.5%) who did not at all agree that the supervisors can make the subordinates to account for their unsatisfactory performance. The third highest score was that of the respondents (19.3%) who somewhat believed that the supervisors can make their subordinates to account for unsatisfactory performance. The cumulative percentage of the respondents who somewhat, strongly and very strongly believed that the supervisors can make the subordinates to account for their performance amounted to 51.8%. This can safely make one to argue that a significant number of the public officials believe that the supervisors have enough authority to demand accountability from their subordinates as a result of a performance management system. This further implies that the relationship between a performance management system and accountability somewhat exists.

6.7.8 Supervisor holding subordinates to account for their performance

This question is different from the preceding in the sense that it required a deeper opinion of the respondents on whether their supervisors held them to account. Unlike the preceding question this one was open-ended and as such solicited elaboration and reasoning from the respondents. The following citations give a variety of responses provided to the question.

- "By insisting that a report or feedback be provided on what has been done after a task has been completed"
- "By calling a meeting to find out why a task has not been carried out."
- "By monitoring whether the set targets have been reached or not. One has to answer why the targets have not been reached."
- "By reprimanding if the tasks that were supposed to be carried out did not."

The reasons provided by those who did not believe that their supervisors held them to account for their performance were:

- "Because the targets were set by the subordinate alone without the help of the supervisor. Therefore, the supervisor in most cases has no clue of what the subordinate is supposed to accomplish and as a result cannot hold the latter to account."
- "The supervisor takes away the task from the latter if it cannot be accomplished."
- "The supervisor does not even check the work performance of the subordinates."

The respondents who claimed that their supervisors did not hold them to account constituted 77% while those who claimed that their supervisor held them to account accounted for only 23%. This implies that the majority of the public officials were not held to account for their performance in the Public Service of Lesotho. It seems that there was inconsistency in the way the respondents tackled the questions because in the closed-ended question 51.8% of the respondents agreed that their supervisors held them accountable for their performance while this was not the case in the open-ended question.

6.7.9 Supervisors' obligation to review performance of subordinates

The aim of this question was to determine whether in the opinion of the respondents their supervisors felt obliged to review their performance as stipulated in a performance management system legal framework as part of accountability. Table 6.35 provides the responses.

Table 6.35: Supervisor obliged to review subordinate' performance as stipulated by legislation

Supervisor obliged to review performance	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	9	13	22	14.5
Hardly	7	6	13	8.4
Somewhat	18	31	49	32.5
Strongly	8	26	34	22.9
Very strongly	2	3	5	3.6
Missing responses	19	8	27	18.1
Total	**63**	**87**	**150**	**100.0**

Table 6.35 indicates that 32.5% of the respondents somewhat believed that the supervisor was obliged to review the performance of the subordinate as stipulated by the legislation (**Public service (Amendment) regulations (Legal Notice No. 21 of 2000**). It was realised that 12% of the operational staff somewhat believed that their supervisors were obliged to review their performance as stipulated in the legislation and 20.5% of senior and middle management also somewhat believed so. The second highest score was that of the respondents (22.9%) who strongly agreed that the supervisor was obliged to review the subordinate' performance as stipulated by the performance management system legislation. The collective percentage of the respondents who somewhat, strongly and very strongly believed that the supervisors were obliged to review their subordinates' performance as required by a performance management system legislation that is referred to above made a total score of 59%. This outweighs the percentage total of those respondents who felt that the supervisor was not at all and hardly obliged to review performance of their subordinates which amounted to only 22.9%. There were, however, 18.1% of the respondents who did not respond to this question. Conclusion can be

reached that most public officials believe that the supervisors are obliged to review performance of their subordinates as demanded by the performance management system legislation. This is contrary to the literature review in the preceding chapters that showed the legislation as very weak to compel the supervisor to review performance of subordinates.

6.7.10 Performance management system implementation and public accountability

The aim of this question was to seek the opinion of the respondents on whether they thought the implementation of a performance management system enhanced accountability to the public (stakeholders) or not. Unlike the question that was asked in paragraph 6.7.4, this question solicited the views of the employees on whether the PMS was enhancing their accountability to the general public or stakeholders. The following table provides the responses.

Table 6.36: Performance management system implementation enhances public accountability

PMS implementation enhances public accountability	Frequencies			Percentage
	Operational staff	**Senior and middle management**	**Total**	
Strongly disagree	7	6	13	8.4
Disagree	8	10	18	12.0
Uncertain	26	43	69	45.8
Agree	15	12	27	18.1
Strongly agree	1	4	5	3.6
Missing responses	6	12	18	12.0
Total	**63**	**87**	**150**	**100.0**

According to the responses on Table 6.36 almost 45.5% of the respondents were uncertain on whether a performance management system enhanced public accountability. Further analysis revealed that 17% of the operational staff was uncertain of whether a performance management system enhanced public accountability while 28.5% of the senior and middle management faced a similar dilemma. This was immediately followed by the respondents (18.1%) who agreed that a performance management system enhanced public accountability. However, it has to be noted that the respondents who

agreed and strongly agreed were more than those who strongly disagreed and disagreed as the former constituted 21.7% of the respondents and the latter 20.4% of the respondents. 12% of the respondents did not respond to the question. There was apparently no strong link between a performance management system and public accountability as the margins between those who agree and disagree was not wide enough. Therefore, there cannot be a conclusive decision on this question except to state that some public officials believe that a performance management system enhances public accountability.

6.8 QUESTIONS RELATED TO STRATEGIC PLANNING

This was a broad area of the questionnaire that had six questions. This was a result of the fact that strategic planning formed a significant component of this study. It was also proper to interrogate it more intensively. The first question under this rubric enquired about the presence of strategic plans in the ministries or departments of the respondents. This is the subject matter of the following paragraph.

6.8.1 Presence of strategic plans in ministries and departments

This question was asked in order to find out whether ministries and departments of the respondents had strategic plans. Table 6.37 provides the responses.

Table 6.37: Presence of strategic plans in ministries and departments

Does your ministry/department have a strategic plan?	Frequency	Percentage
Yes	105	69.9
No	5	3.6
Not sure	29	19.3
Missing responses	11	7.2
Total	**150**	**100.0**

The majority of the respondents (69.9%) agreed that there was a strategic plan in their ministries and departments. There were only 3.6% of the respondents who indicated that there was no strategic plan in their ministries and departments. There were 19.3% of the respondents who were not sure whether there was a strategic plan in their ministries and departments or not. The missing responses amounted to 7.2% of the respondents in the survey. It can be concluded that the majority of ministries and departments have strategic

plans. This augurs well for the implementation of a performance management system. It was highlighted in the preceding chapters that strategic planning enhances the implementation of a performance management system. It was also maintained that there was a relationship between a performance management system and strategic planning.

6.8.2 Respondents' participation in their ministerial strategic plans

This question was asked to find out whether respondents ever participated in the drawing of their ministries or departments' strategic plan. Table 6.38 provides the responses to the question.

Table 6.38: Participation in ministry and department strategic plan

Ever participated in strategic planning exercise?	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	10	42	52	34.9
No	51	38	89	59.0
Missing responses	2	7	9	6.0
Total	**63**	**87**	**150**	**100.0**

Table 6.38 reveals that the majority of respondents (59%) had never participated in the drawing of their ministerial and departmental strategic plans. It was established that out of this 59%, the operational staff comprised 33.7% while the senior and middle management constituted 25.2%. The second highest score was that of the respondents (34.9%) who claimed to have participated in their ministerial and departmental plans. There were 6% of the respondents who did not respond to the question. The fact that remains is that most public officials did not give their inputs in the drawing of their ministries' and departmental strategic plans. This does not assist the implementation of a performance management system because a strategic plan is a vital tool in the implementation of the former. The public officials must be having it difficult to implement the plan they were never a party to. This does not bode well for the implementation of a performance management system.

6.8.3 Respondents attendance of training on strategic planning

The aim of this question was to determine whether the respondents ever attended any workshop, seminar or a course on strategic planning since they assumed their current position. Table 6.39 below provides the responses.

Table 6.39: Attendance of strategic planning training after assuming position

Attended strategic planning training since assuming current position	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	2	32	34	22.9
No	60	45	105	69.9
Missing responses	1	10	11	7.2
Total	**63**	**87**	**150**	**100.0**

According to responses in Table 6.39, the majority of the respondents (69.9%) had not attended any strategic planning training since they assumed their current position. It was found out that the operational staff constituted 40% of the respondents who did not attend strategic planning training since they assumed their current position while senior and middle management respondents made up 29.9% of the same respondents. The respondents who had attended training on strategic planning since assuming their current position made only 22.9%. There were 7.2% of the missing responses. It can be deduced that even though strategic planning is a very important component of a performance management system, there is very little training conducted for the public officials. This definitely hampers implementation of a performance management system.

6.8.4 Understanding of the vision, mission and objectives of the organisation

This question was asked in order to determine whether the respondents understood the vision, mission and objectives of their organisation. The following table provides the responses.

Table 6.40: Respondents understanding of the vision, mission and objectives

Understand vision, mission and objectives of the organisation	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not all	9	13	22	14.5
Partly	20	9	29	19.3
Somewhat	5	9	14	9.6
Well	13	29	42	27.7
Very well	15	19	34	22.9
Missing responses	1	8	9	6.0
Total	**63**	**87**	**150**	**100.0**

About 27.7% of the respondents well understood the vision, mission and objectives of their organisation. On the one hand the operational staff accounted for 8.4% of the respondents who well understood the vision, mission and objectives of their organisation while on the other hand senior and middle management comprised 19.3% of the same category of the respondents. The second highest score was that of the respondents (22.9%) who very well understood the vision, mission and objectives of their organisation. Therefore, the cumulative percentage of both the respondents who claimed to well and very well understood the vision, mission and objectives of their organisation amounted to 50.6% of the respondents in the survey. This was the highest percentage in the whole survey. There were 14.5% of the respondents who claimed to not at all understand the vision, mission and objectives of their organisation. This was a very small percentage given the fact that even those who claimed to partly understand the vision, mission and objectives of their organisation had 19.3% share of the respondents. The smallest percentage was that of the respondents who claimed to somewhat understood the vision, mission and objectives of their organisation and the missing cases. It was noted that the majority of the respondents understood the contents of the strategic plan and this is crucial to the implementation of a performance management system.

6.8.5 Implementation of strategic objectives in respondents' day-to-day work

This question was aimed at discerning whether the respondents implemented strategic objectives of their organisation in their day-to-day work. Table 6.41 provides the responses.

Table 6.41: Did the respondents implement strategic objectives in their day-to-day work?

Implement strategic objectives during daily work	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Yes	26	56	82	54.2
No	5	2	7	4.8
Not sure	30	15	45	30.1
Missing responses	2	14	16	10.8
Total	**63**	**87**	**150**	**100.0**

More than half of the respondents (54.2%) claimed that they implemented strategic objectives of their organisations in their day-to-day work. It was found out that the operational staff constituted 17% of the respondents who claimed that they implemented strategic objectives of their organisations in their day-to-day work while the senior and middle management comprised 37.2%. The second highest score was that of the respondents (30.1%) who were not sure of whether they implemented the strategic objectives of their organisations in their day-to-day work or not. Few respondents (4.8%) responded with a no. It seems that the majority of the public officials implement the strategic objectives of their organisations. These augurs very well for a performance management system because the inherent link between the strategic plan and a performance management system calls for a continuous and consistent application of the strategic objectives in order to enhance a performance management system implementation.

6.8.6 A performance management system link with an organisational strategic plan

This question was used to assist the researcher to understand whether a current performance management system linked with the respondents' organisational strategic plans. Table 6.42 provides the responses.

Table 6.42: A performance management system link with organisational strategic plan

PMS links with the organisational strategic plan	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	4	3	7	4.8
Hardly	5	9	14	9.6
Somewhat	20	36	56	37.3
Strongly	12	30	42	27.7
Very strongly	1	3	4	2.4
Missing cases	21	6	27	18.1
Total	**63**	**87**	**150**	**100.0**

Table 6.42 indicates that the majority of the respondents (37.3%) somewhat believed that a performance management system linked with their organisational strategic plan. It was established during further analysis that the operational staff comprised 13.3% of the respondents who somewhat believed that a performance management system linked with an organisational strategic plan. The senior and middle management consisted of 24% of the respondents who somewhat believed that a performance management system linked with their organisational strategic plan. The second highest score was that of the respondents who strongly agreed that there was a link between a performance management system and their organisational strategic plan. Those who hardly believed that a performance management system linked with their organisational strategic plan made 9.6% of the respondents. The respondents who claimed that a performance management system did not at all link with their organisational strategic plan amounted to 4.8% of the respondents. The respondents who strongly believed that a performance management system linked with their organisational strategic plan made the lowest percentage of 2.4%. The missing responses constituted 18.1% of the respondents. In summary the respondents who somewhat, strongly and very strongly believed that there was a link between a performance management system and an organisational strategic plan made a cumulative percentage of 67.4%. This meant that the majority of the public officials to a varying degree of agreement believe that a performance management system links with their organisational strategic plan. This was earlier indicated in the preceding

chapters that there is and should be a link between the two concepts. Therefore, this paragraph confirms that early assertion.

6.9 QUESTIONS RELATED TO THE BUDGET

This was an area that dealt with the issue of the budget, especially its linkage to a performance management system. It has been argued in the preceding chapters that there was a linkage between a performance management system and a budget. This rubric had one closed-ended question.

6.9.1 Ministry budget and its link to a performance management system

This question was aimed at establishing whether a current performance management system had any linkage to the ministerial budget. Table 6.43 provides the responses to the question.

Table 6.43: Ministry budget and its link to a performance management system

Budget linked to the PMS	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not all	10	12	22	14.5
Hardly	5	11	16	10.8
Somewhat	18	20	38	25.3
Strongly	4	25	29	19.3
Very strongly	6	5	11	7.2
Missing responses	20	14	34	23.0
Total	**63**	**87**	**150**	**100**

It is clear from Table 6.43 that the majority of the respondents (25.3%) somewhat believed that their ministerial budgets were linked to a performance management system. It was established that the operational staff consisted of 12% of the respondents who somewhat believed that their ministerial budgets were linked to a performance management system while the senior and middle management comprised 13.3% of those respondents. The second highest score was that of the respondents who strongly believed that their ministerial budgets were linked to a performance management system at a

percentage score of 19.3%. The percentage of the respondents who believed that their ministerial budget did not at all link with a performance management system was 14.5%. The respondents who hardly believed that their ministerial budgets linked with a performance management system constituted 10.8%. The lowest percentage (7.2%) was that of the respondents who very strongly believed that their ministerial budgets linked with a performance management system. It should be noted that there was 23% of the missing responses. However, the cumulative percent of the respondents who somewhat, strongly and very strongly believed that their ministerial budget was linked to a performance management system comprised 51.8%. This implies that the majority of the public officials believe to a varying degree that the budgets of their organisations are linked to a performance management system. The preceding chapters argued that the budget has to be linked to a performance management system and this was validated by the public officials.

6.10 QUESTIONS RELATED TO THE JOB DESCRIPTIONS

This was an area that was meant to determine the relationship of the job descriptions and a performance management system. The issue of job descriptions importance especially in relation to a performance management system had been dealt with in the preceding chapters. This was the reason why questions related to job description were essential in this thesis.

6.10.1 Job descriptions and a performance management system implementation

This question was aimed at determining whether in the view of the respondents the job descriptions in their ministries were sufficient for the implementation of a performance management system. Table 6.44 provides the responses to the question.

Table 6.44: Job descriptions and a performance management system implementation

Job descriptions sufficient for PMS implementation	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not all	3	8	11	7.2
Hardly	7	4	11	7.2
Somewhat	11	16	27	18.1
Strongly	18	44	62	41.0
Very strongly	9	12	21	14.5
Missing responses	15	3	18	12.0
Total	**63**	**87**	**150**	**100.0**

According to the responses provided in Table 6.44 about 41% of the respondents strongly agreed that job descriptions in their ministries and departments were sufficient for the implementation of a performance management system. Out of this 41% the operational staff accounted for 8.4% while the senior and middle management constituted 32.6% of the same respondents. The second highest score was that of the respondents (18.1%) who somewhat agreed that the job descriptions in their ministries and departments were sufficient for the implementation of a performance management system. The third highest score was that of the respondents (18.1%) who very strongly believed that the job descriptions in their organisations were sufficient at a total percentage of 14.5%. The respondents who did not at all and hardly believed that the job descriptions in their ministries were sufficient for the implementation of a performance management system were 7.2% per category. The number of respondents who did not answer this question constituted 12%. However, it is clear that many public officials believe that the job descriptions in their ministries and departments were sufficient for the implementation of a performance management system. This is validated by the cumulative percentage of the respondents (73.6%) who somewhat, strongly and very strongly believed that the job descriptions in their ministries and departments were sufficient to implement a performance management system. This finding is quite the opposite of the arguments that were made in the preceding chapters that pointed out that the job descriptions in the Public Service of Lesotho are not sufficient for proper implementation of a performance management system.

6.10.2 Job descriptions and work plans

The purpose of this question was to find out whether the job descriptions of the respondents were of assistance when they drew their work plans. Table 6.45 provides the responses to the question.

Table 6.45: Job descriptions assistance in drawing work plans

Job descriptions of assistance	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	1	8	9	6.0
Hardly	9	13	22	14.5
Somewhat	15	25	40	26.5
Strongly	22	21	43	28.9
Very strongly	7	7	14	9.6
Missing responses	9	13	22	14.5
Total	**63**	**87**	**150**	**100.0**

The majority of the respondents (28.9%) felt strongly that their job descriptions were helpful in drawing their work plans. It was noted that out of this 28.9% the operational staff accounted for 14.5% while the senior and middle management formed 14.4% of the same category of responses. The second highest score was that of the respondents (26.5%) who somewhat felt that their job descriptions were of assistance in drawing their work plans. The lowest score was that of the respondents (6%) who felt that their job descriptions did not at all assist in drawing of their work plans. It is clear from the above table that an overwhelming majority of the respondents (65%) believed strongly, very strongly and somewhat, that their job descriptions assisted in drawing their work plans. There were, however, 14.5% of non-responses. This contradicts the literature that was consulted in the preceding chapters which argued that the job descriptions were not adequate.

6.11 QUESTIONS RELATED TO COMMUNICATION STRATEGIES

This area of the questionnaire was meant to find out whether there were any communication strategies that were utilised to enhance the implementation of a

performance management system. This section contained three questions that were outlined in the following paragraph.

6.11.1 Effectiveness of the Lesotho Government communication

The purpose of this question was to gather from the respondents whether they thought the Lesotho Government communication was effective enough to encourage implementation of a performance management system. The following table provides the responses to the question.

Table 6.46: Effectiveness of the Lesotho Government communication

Government's communication effective	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	10	17	27	18.1
Hardly	13	19	32	21.7
Somewhat	13	23	36	24.1
Strongly	11	18	29	19.3
Very strongly	1	3	4	2.4
Missing responses	15	7	22	14.5
Total	**63**	**87**	**150**	**100.0**

The responses in Table 6.46 show that the majority of the respondents (24.1%) somewhat believed that the Lesotho Government communication was effective in encouraging the implementation of a performance management system. The operational staff accounted for 8.4% of the above 24.1% of the respondents who somewhat believed that the Government of Lesotho communication was effective in encouraging the implementation of a performance management system while in the same vein the senior and middle management comprised 15.7%. The respondents who hardly believed that the Lesotho Government communication was effective in encouraging the implementation of a performance management system constituted 21.7%. The third highest score was that of the respondents (19.3%) who strongly believed that the Lesotho Government communication was effective in encouraging the implementation of a performance management system. However, 18.1% of the respondents did not at all believe that the

Government of Lesotho's communication was effective in encouraging implementation of a performance management system. The lowest score (9.6%) was that of the respondents who very strongly believed that the Government of Lesotho's communication was effective in encouraging implementation of a performance management system. Generally, a significant number of public officials believe that the Government of Lesotho communication is effective in encouraging implementation of a performance management system. This is validated by the cumulative percentage of the respondents (45.8%) who somewhat, strongly and very strongly believed that the Government of Lesotho's communication was effective in encouraging implementation of a performance management system. It has to be noted that there was 14.5% of the missing responses.

6.11.2 Organisational communication strategy

The aim of this question was to find out whether the respondents regarded the communication strategies used by their organisation as effective enough to encourage the implementation of a performance management system. Table 6.47 highlights the responses to the question.

Table 6.47: Effectiveness of the organisational communication

Organisational communication effective	Frequency	Percentage
Not at all	32	21.7
Hardly	32	21.7
Somewhat	35	22.9
Strongly	27	18.1
Very strongly	2	1.2
Missing responses	22	14.5
Total	**150**	**100.0**

It is indicated in Table 6.47 that the majority of respondents (22.9%) somewhat believed that their organisations' communication was effective in encouraging the implementation of a performance management system. The respondents who did not at all and hardly believed made 21.7% per category. The third highest score (45.8%) was that of the respondents who strongly believed that their organisations' communication was effective

in encouraging implementation of a performance management system. The missing responses accounted for 14.5% of the respondents. The lowest score was that of the respondents who claimed very strongly that their organisations' communication was effective in encouraging implementation of a performance management system at 1.2%. It is worth noting that the majority of the respondents (21.7%) were those who either did not at all and hardly believed that their organisations' communication was effective in encouraging implementation of a performance management system. This, therefore, means that the majority of the public officials do not believe that their organisations were communicating effectively to promote implementation of a performance management system.

6.11.3 Management meetings' frequency on a performance management system

The aim of this question was to determine the frequency of management meetings to discuss effective ways to implement a performance management system. Table 6.48 provides the responses to the question.

Table 6.48: Frequency of management meetings on a performance management system

Management meeting frequency	Frequency	Percentage
Weekly	7	4.8
Monthly	9	6.0
Quarterly	11	7.2
Annually	9	6.0
Seldom	45	30.1
Not at all	49	32.5
Missing responses	20	13.3
Total	**150**	**100.0**

About 32.5% of the respondents, which is a majority, claimed that management meetings were not at all held to discuss effective ways to implement a performance management system. The second highest score (30.1%) was that of the respondents who pointed out that management meetings were seldom held to discuss ways to implement a performance management system. The missing responses accounted for 13.3% of the respondents. The remaining responses namely; weekly, monthly and annually made an

average of 6% of the respondents. This means that the majority of the public officials (a cumulative percentage of 62.6%) either believed that meetings were seldom held or not at all held to discuss effective ways to implement a performance management system. This revelation does not go well with the implementation of a performance management system. A performance management system being a new concept in the Public Service of Lesotho deserves to be discussed more frequently in order to evaluate its implementation. However, this seems not to be the case as shown by the above responses. There was no clear direction charted through the management meetings. This may also cast doubt as to the commitment of management on the implementation of a performance management system.

6.12 QUESTIONS RELATED TO GOVERNMENT COMMITMENT TO THE PMS

This area of the questionnaire was meant to gauge the commitment of the Government of Lesotho with regard to the implementation of a performance management system. The section was made of two questions.

6.12.1 Government of Lesotho commitment to a performance management system

This question was asked in order to determine the opinion of the respondents on whether the Government of Lesotho was committed to the implementation of a performance management system. Table 6.49 shows the responses to the question.

Table 6.49: Government' commitment to a performance management system

Government committed	Frequencies			Percentage
	Operational staff	Senior and middle management	Total	
Not at all	7	4	11	7.2
Hardly	6	7	13	8.4
Somewhat	18	42	60	39.8
Strongly	10	15	25	16.9
Very strongly	3	6	9	6.0
Missing responses	19	13	32	21.7
Total	**63**	**87**	**150**	**100.0**

According to Table 6.49, the majority of the respondents (39.8%) somewhat believed that the Government of Lesotho was committed to the implementation of a performance management system. In this category of the respondents who somewhat believed that the Government of Lesotho was committed to the implementation of a performance management system, the operational staff accounted for 12% while the senior and middle management comprised 27.8%. The second highest score (16.9%) was that of the respondents who strongly thought that the government was committed to the implementation of a performance management system. The third highest score was that of the missing responses and it comprised 21.7% of the respondents. The lowest percentage was that of the respondents who claimed that the Government of Lesotho was not at all committed to the implementation of a performance management system. Generally, the majority of the respondents (a cumulative percent of 61.8%) somewhat, strongly and very strongly believed that the Government of Lesotho was committed to the implementation of a performance management system. This means that the majority of the public officials are satisfied that the Government of Lesotho is committed enough to implement a performance management system.

6.12.2 Government efforts to improve planning and management skills

The purpose of this question was to establish whether the Government of Lesotho was putting enough effort into improving planning and management skills in order to effectively implement a performance management system. The following are the responses that were in the affirmative and those that were in the negative:

- "By providing training opportunities for the public officials on planning and other management skills improvement courses."
- "By holding refresher workshops and seminars for them".

The responses given by those respondents who did not believe that the Government of Lesotho has done enough to improve planning and management skills of the public servants were as follows:

- "Because it is almost impossible to attend training on a performance management system and other management courses due to lack of funds."

- "Because the senior management in ministries and departments do not comprehend the application of a performance management system and related management concepts."
- Because the newly recruited staff members are not given the training opportunities to improve their skills, especially in the application of a performance management system".

The majority of the public officials (89%) did not believe that the Government of Lesotho was doing enough to improve planning and management skills of the public officials. The remaining 11% of the respondents believed that the Government of Lesotho did enough to improve planning and management skills of the public officials. This implies that indeed the Government of Lesotho still has a lot of work to do to in terms of training especially with regard to issues related to the implementation of a performance management system.

6.13 THE RESEARCH FINDINGS

The following paragraphs will provide a brief outline of what the research has established as findings. This will be based on what the data patterns have shown in the above analysis. The findings will be brief because during the data analysis synopses of what has been established from the data patterns were given and this provided the findings as per an analysed item. Therefore, the findings will be based on the selected pertinent subject matter of this thesis. This will exclude the biographical issues but include matters related to a performance management system, accountability, strategic planning, budget, job descriptions, communication strategies and commitment to implement a performance management system.

6.13.1 A performance management system status.

It has been found that the majority of the public servants had not been well trained in the application and implementation of a performance management system. As a result, most of the public officials had not attended any training for a time longer than a year. The majority of the public were convinced that a performance management system was not

well introduced. It has been noted though that the majority of the public officials understood the very well how to complete the performance appraisal forms and the most of them were appraised within the specified times that are stipulated in a performance management system legislation. However, majority of the public officials concluded that a performance management in the Public Service of Lesotho did not meet the objectives it was meant to. This is despite the fact that most supervisors assisted their subordinates to draw their work plans and set the targets. It was established that most ministries and departments had performance standards for both the organisation and an individual employee. The majority of the public officials felt that a performance management system had not contributed to their career development and progression. There were many public officials who claimed that their supervisors were not coaching them. It was also established that the majority of the public officials felt there were no incentives, motivation and recognition, as a result believed that a performance management system should be tied to pay. The overall picture that could be drawn from the responses on the status of a performance management system implementation was that it was not well implemented as it should have been. Most significant causes were lack of training, commitment and motivation to implement it.

6.13.2 Accountability

The majority of the public officials felt that results of the performance appraisals were not used to improve accountability and as a result they felt that a performance management system was not effective in addressing accountability. This finding rejects the hypothesis of this study that a performance management system implementation can improve accountability in the Public Service of Lesotho. It was also established that a significant number of the public officials felt that a performance management system was not even enhancing accountability in the Public Service. However, the majority of the public officials still believed that accountability was a top priority in the implementation of a performance management system. Furthermore, it was widely held that a performance management system was a fair and reasonable measurement tool. In the same vein a considerable number of the public servants claimed that their supervisors did not care to hold them to account for their performance despite believing that that their

supervisors were obliged to review their performance. Many public officials were not sure whether a performance management system implementation was enhancing public accountability of or not. This implied that there was no clear impact of the former on public accountability.

6.13.3 Strategic planning

It was found out that a considerable number of ministries and departments had organisational strategic plans even though the minority of the public officials claimed to have participated in the development of departmental strategic plans as well as not having had the opportunity to attend training on the formulation of such plans. It was also established that the majority of the public officials executed their functions within the context of the organisational strategic objectives. A substantial majority of the respondents believed that there was a link between a performance management system and a strategic plan.

6.13.4 Job descriptions

The majority of the public officials felt that their job descriptions were adequate to address the demands of a performance management system. This implied the success of the initiative that was carried out by the Ministry of the Public Service to review and redraw the job descriptions in the Public Service. As a result, the bulk of the public officials were confident that their job descriptions were helpful in drawing their work plans. It had been established that the job descriptions in the Public Service were not as inadequate as it was earlier suggested by the reports in Chapter Four. Therefore, the problems associated with the job descriptions in relation to the implementation of a performance management system were addressed by the improved job descriptions.

6.13.5 Communications strategies

It was found out that a considerable number of the public officials believe that the Government of Lesotho communication strategies were effective in encouraging the implementation of a performance management system. However, the majority of the public officials claimed that their organisations' communication strategies were not

effective in encouraging the implementation of a performance management system. This implies that whereas the Government of Lesotho is keen on the implementation of a performance management system, its implementing agents are not so keen on the idea. Another question would be upon whom is the Government communication strategies effective. This may also imply that the Government communication strategies have to be refocused on the real role players, in this case the heads of the ministries. For example, the majority of the public officials claim that there are occasional if none at all management meeting that are held to discuss a performance management system implementation. This implies that on the ground or at the implementation level there is no sense of urgency in relation to the implementation of a performance management system.

6.13.6 Commitment to implement a performance management system

It was established that a significant number of the public officials opined that the Government of Lesotho was committed to the implementation of a performance management system. This implies that there was political will and a desire to have the system operating effectively. It was, however, found out that the Government's efforts were lacking with regard to improving planning and management skills of its employees. It can be inferred that Government's failure in this regard is the reason for lack of commitment at the implementing level. There are no skills to carry out the project to its maturity. Planning and management are crucial skills to ignore if the project is to be implemented effectively.

6.14 CONCLUSION

This chapter has reported the responses to the questions that were asked the respondents who were the public officials from different ministries and departments in the Public Service of Lesotho. The questions ranged from the respondents' biographical data, a performance management system implementation, accountability, strategic plans, budget, job descriptions, government's commitment and initiatives. The structure and content of the questionnaires that were distributed was provided, the individual responses were tabulated and analysed. The findings were outlined. It was also established that the implementation of a performance management system in the Public Service of Lesotho

was a mixed bag. This means that there were both glaring failures and successes. However, it was realised that the Government has to improve its strategies to incorporate it implementing agents towards focussed and strategic implementation of a performance management system. The efforts to implement a performance management system were found to be both weak and fragmented. There was, however, a light at the end of the tunnel if the Government of Lesotho revamped its strategies and approaches. The majority of the public officials believed that the Government of Lesotho is on the right track and what it lacked was strengthening its implementing agents, namely ministries and departments' management and personnel.

CHAPTER SEVEN
CONCLUSIONS AND RECOMMENDATIONS

7.1 INTRODUCTION

This chapter provides the conclusion emanating from the findings that were made in Chapter Six. A number of recommendations are proposed as a way of charting the course for the future implementation of a performance management system in the Public Service of Lesotho. The following paragraphs will deal with the issues directly bearing poor implementation of a performance management system in the Public Service of Lesotho, as concluding remarks. This will be followed by paragraphs that outline the recommendations to improve the implementation of the PMS in Lesotho.

7.2 CONCLUSIONS

This chapter is on conclusion of the entire study. Therefore, the next paragraphs venture into the conclusions that were made as a result of what has been empirically established. The following paragraph deals with the poor state of the PMS implementation.

7.2.1 Poor state of the PMS implementation

It can be concluded that the current state of the PMS implementation is poor. A number of reasons have been outlined and attributed to this situation. Key amongst these were the lack of training and incentives to implement, as well as a total lack of commitment from the Government as a whole. It has been found that a lack of planning and a shortage of management skills play a major role in the poor state of implementation of the PMS. This is a worrisome state of affairs given the noble objectives of adopting this system by the Government of Lesotho, and it has to be taken care of by the relevant authorities.

7.2.2 Poor emphasis on accountability as the PMS component

Conclusion can be drawn that there is a poor emphasis on the importance of accountability as a component of the PMS. The findings indicate that there is less or no use of the results of performance management information to enhance accountability. Accountability is the major reason for adoption of the PMS internationally, as highlighted

in Chapter Three. This is also the main reason for the adoption of the PMS in Lesotho. It is therefore, not clear why it is not emphasised by the Government of Lesotho. The implementation of the PMS has been relegated to a routine and meaningless activity. This has to be seriously addressed by all the relevant stakeholders.

7.2.3 An in-depth knowledge of strategic plans as part of the PMS

It has been established that only the minority of public officials has meaningfully participated in the formulation of strategic plans in their ministries. The conclusion arising out of this is that more effort should be made to engage all the public officials during the formulation of strategic plans as they form a vital component of the PMS. It is very difficult to relate the PMS to a strategic plan if one has not been part of the plan in the first place. More effort should be put in ensuring that public officials understand their strategic plans, as this would facilitate the implementation of the PMS.

7.2.4 Review of Government communication strategies

It has been pointed out that the Government of Lesotho communicates frequently about the PMS but nothing seems to be taken seriously at the implementing level. Therefore, it can be concluded that this is an ineffective communication. The Government should first of all find out the reason why its communication does not result in positive behavioural change. This inquiry will help alter its ways and means of communication. PMS, being a relatively new concept in the Public Service of Lesotho, needs to be communicated effectively. This may even call for the Government to consider appropriate sanctions for non-compliance.

7.2.5 An urgent need to review the PMS guidelines

The guidelines for the implementation of the PMS are outdated. There is, therefore, an urgent need to review them. The guidelines are very important in the implementation of any task, and if they are not up-to-date, they may mislead or hamper progress. This at the present moment is the case with the PMS guidelines. They were formulated at the beginning of the PMS implementation and are not informed by the challenges and developments facing the PMS currently.

7.3 RECOMMENDATIONS

This chapter as earlier shown will make a number of recommendations which can help rectify the current poor state of the PMS implementation. There are things that the Government is trying to do to turn the situation around but they fall short of doing that. Therefore, the following paragraphs will add another dimension on how the solution to this inertia can be achieved, through recommendations.

7.3.1 Establishment of the PMS focused department

There is need to establish a department that will solely be responsible for proper implementation of the PMS. This department should operate as the inspectorate on the PMS. The department should be responsible for the formulation of the PMS related policies, issue directives on the PMS, monitor, evaluate, review and attend to any demands of the system. This should be a high-powered department with qualified staff, able to sanction non-compliance and should be visionary. In order to strengthen it, units can be formed that will be placed in other ministries. This would ensure day-to-day monitoring of the implementation of the PMS. This department can be placed under the Office of The Prime Minister to give it more clout and be headed by fairly senior personnel.

7.3.2 Establishment of a Cabinet subcommittee on the PMS

Government of Lesotho should consider establishing a Cabinet subcommittee to deal with the issue of the PMS. There are a number of Cabinet subcommittees in the Government of Lesotho and they are effective tools on addressing specified areas. Their establishment also ensures that such a given subject matter is always on Cabinet agendas. PMS is critically important to be out of Cabinet focus. The Cabinet subcommittee can be chaired by the Minister of the Public Service and be composed of additional two or three relevant ministries such as Minister of Finance and Development Planning, Minister of Employment and Labour and Minister in the Office of the Prime Minister. This Committee can also report to Parliament on the implementation progress. PMS is a national agenda and Parliament has a high stake and interest in it. This also means that role of leadership cannot be overemphasized in the implementation of the PMS.

7.3.3 Allocation of funds for training on the PMS

Given the importance of the PMS in the Public Service, it would be recommended that a certain sum of the national budget should be set aside for use in the training of public officials on PMS. It is surprising that such an important programme is not well implemented because it was not budgeted for. This portion of the budget should specifically be used on new recruits into the Public Service, refresher courses for individual public officials who attended PMS training in the last two years or more as well as those who have been promoted to positions with higher responsibility. One of the main aims of introducing the PMS in Lesotho Public Service was to enhance staff development. Staff development can, amongst others, be achieved by funding training on PMS application. Public officials have to understand that the PMS is an investment on their development and success. It should be taken seriously as a developmental tool.

7.3.4 Rewarding good performance

Another demoralising factor in the implementation of the PMS is lack of reward for good performance. Public officials get discouraged to realise that their effort is not recognised. Those who have to appraise their staff view performance appraisal as a tedious routine and a total waste of time, and those who are appraised do not really care whether the appraisal results are good or poor because there is no immediate impact on their lives after the appraisal. It has been argued in Chapter Four that rewarding good performance goes a long way towards sustaining such performance. It is therefore recommended that the Government of Lesotho should consider rewarding good performance as a way of strengthening the PMS implementation.

7.3.5 Implementing performance related pay (PRP)

The performance related pay is an additional component of the PMS in which the individual employee is paid on the basis of his/her performance. It is, however, advisable that proper training be undertaken on it as well as having clear and well formulated performance standards. Performance standards should cascade from organisational objectives to individual public officials' set targets. Currently, it would be really difficult to fairly assess the correct performance level of a public official. Performance standards

enable employees to know as individuals what is expected of them in the performance of their duties. The Government of Lesotho is currently preoccupied with the formulation of performance standards. This can go hand-in-hand with the introduction of the PRP. Introduction of the PRP can make public officials to really seek to understand the PMS and be keen to appraise and be appraised as that affects their paycheques. It is, therefore, recommended that the PRP be implemented in the Public Service.

7.3.6 Strengthening the PMS legislation

It has been established that the current legislation regulating the implementation of the PMS is inadequate. It is, therefore, recommended that this legislation be strengthened to include specific clear and implementable penalties for non-compliance.

7.3.7 Emphasizing the role of the PMS as a tool for accountability

Emphasis on the importance of the PMS as a tool for accountability and for curbing corruption in the Public Service should be in the forefront. It is recommended that as a part of increasing the knowledge and appreciation of the PMS emphasis should be placed on accountability. With this knowledge, public officials will be better placed to understand the main purpose of implementing the PMS. Currently, most of the public officials do not fully understand the link between the two concepts. This can be achieved by using the performance information to hold employees to account. This means that under-performance should be dealt with in a serious manner. Ignoring poor performance de-motivates good performers, especially in cases where performance is not tied to remuneration or there is no PRP. Some find the PMS as unnecessary whereas others are sluggish in implementing it and do not get any reprimand for that.

7.3.8 Need for greater inclusivity in the PMS implementation

The Government of Lesotho needs to widen the size of stakeholders in the PMS implementation. A culture of performance and accountability has to be nurtured and this should include public representatives (politicians). Cultivating this culture in the governance hierarchy can help bring commitment in the implementation of the PMS. Currently, not enough significance is put on performance management and accountability

as the engines of transparent and accountable public administration. Therefore, by incorporating critical governance institutions in the performance management agenda can lead to a wider commitment and custodianship of this important PMS concept. Legislators can interrogate the PMS legislation critically and seriously if it affects them directly.

7.3.9 Integrating the PMS into the culture of the Lesotho Public Service

It is important to assess and comprehend the organisational culture pertaining to the Public Service of Lesotho. This means that an evaluation of what works in the Public Service, what are the attitudes prevailing amongst the public officials as well as how to tackle resistance amongst employees should be established so as to correctly adapt the PMS. Imposing a foreign concept in another environment without first analysing its impact on the new and old environment as well as the culture and work ethic can lead to disastrous implementation. It is against this background that it can be recalled that the implementation of the PMS in Lesotho was carried out within a short time after the concept was introduced. Therefore, above mentioned factors were not considered.

7.3.10 User-friendly appraisal forms and up-to-date documents

Another important issue is that of revising and reintroducing the appraisal forms. The current appraisal forms need to be short in terms of the number of pages without missing important information. It needs much effort to work on the current forms due to their bulkiness and it is more so for supervisors who have large numbers of subordinates. It is recommended that these forms should not exceed three pages. They currently have four to twelve pages. The issue of the language used in this forms is also a matter of concern. It is an old and difficult language. This has to be corrected by using a simple language that can be understood easily by both the supervisor and his/her subordinate. It has to be remembered that the current forms were designed in the late 1990s and have never been revised nor evaluated for their suitability in this era. It is most likely that they are no more serving the purpose they were meant to in the past due to changes brought by other developments in the Public Service. For example, the issue of performance standards was not prevalent in the Public Service then. That is why they were not incorporated when

these forms were designed and introduced. There is, therefore, a need to redesign these forms.

7.3.11 Scoring performance by using numerical values

The Government of Lesotho should make a decision on scoring performance of public officials. The numerical scores can be measured and understood better than words such as excellent, good, satisfactory to mention but a few. For example, if excellent is related to a numerical range such as 90-100% of accomplishing a task that is clearer. The numerical values use can assist in reducing the ambiguity of the rating and would enhance confidence, credibility and dialogue during the performance review.

7.4 CONCLUSION

It has been shown that this study rejected the hypothesis that the implementation of a performance management system can improve accountability in the Public Service of Lesotho. However, it has been shown that this is mainly due to lack of proper implementation of a performance management system by the Government of Lesotho and its implementing agencies (ministries). It has been revealed that the supporting pillars for effective implementation of a performance management system were not fully developed and ready before the PMS implementation. These included strategic plans and performance standards. This means that the implementation of a performance management system in the Public Service of Lesotho was carried out prematurely. Therefore, it can be concluded that the levelling of these playing fields has to be effected urgently in order to facilitate proper implementation of a performance management system. Only after the proper installation of the above that it can be concluded that the implementation of a performance management system in the Public Service of Lesotho can improve accountability, as it is the case in other countries as seen from the literature that was reviewed. This study, therefore, concludes that the implementation of a performance management system in the Public Service of Lesotho has, at this point in time, a limited impact on accountability.

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APPENDIX A: The survey questionnaire for operational staff

INTRODUCTION

This questionnaire seeks to elicit information on the status of a performance management system (**PMS**) in the Public Service of Lesotho in relation to accountability. You are kindly requested to complete this questionnaire as accurately and honestly as possible. This survey is for the purpose of obtaining a Postgraduate Degree by the researcher. The Ministry of the Public Service has kindly granted the permission for this study to be undertaken. Therefore, you are requested to feel free in providing your opinions. Moreover, responses will be treated with utmost confidentiality, anonymity and will not prejudice anyone. Your assistance and cooperation will be highly appreciated. Completing this questionnaire will take approximately between 25-30 minutes of your time.

Please put words in provided space and use (√) in an appropriate answer box.

BIOGRAPHICAL AND EMPLOYMENT QUESTIONS

1. **Name of the Ministry/Department..**

2. **Age**   **18-30** ☐   **40-49** ☐ **60 and above** ☐

            31-39 ☐   **50-59** ☐

3. **Gender**   **Male** ☐   **Female** ☐

4. **Position Title ....**

5. **Grade ....**

6. **Date/Year of Employment by Lesotho Government ....**

7. **Highest Educational qualifications**

Standard 7 ☐	**Junior Certificate** ☐	**D. Degree** ☐
C.O.SC/GCE ☐	**Diploma** ☐	
B. Degree ☐	**M. Degree** ☐	

8. **How long have you been in your current position?**

Less than a year ☐ **1 Year** ☐ **2 Years** ☐ **3 Years** ☐ **4 Years** ☐

5 Years and above ☐

THE PERFORMANCE MANAGEMENT SYSTEM QUESTIONS

PMS training and skills

9. **Have you ever attended a performance management system workshop/ seminar/course since joining the Public Service?**

Yes ☐

No ☐

10. **If your answer to question 9 is "yes", when was the last time that you attended such a workshop/seminar/course organised by the Ministry of the Public Service?**

1-6 months ago ☐ **7 months – 1 Year ago** ☐ **Longer than a year ago** ☐

11. **Do you fully understand the contents and requirements of the performance appraisal form and how to use it?**

Not at all ☐ **Hardly** ☐ **Somewhat** ☐ **Strongly** ☐ **Very Strongly** ☐

PMS implementation

12. **According to your knowledge, was the introduction and implementation of a performance management system well planned? Please motivate your answer.**

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13. **In your opinion do you think a current performance management system is relevant to your work? Please motivate your answer.**

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14. **When was the last time that you have been appraised?**

1-3Months ago ☐   **6Months ago** ☐   **1-2Years ago** ☐   **Not sure** ☐

15. **Does a performance management system implementation meet the objectives it was meant to when it was introduced? Please motivate your answer.**

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State of the PMS implementation

16. **How could you rate the current state of the implementation of a performance management system in the Public Service of Lesotho?**

Very poor ☐   **Poor** ☐   **Reasonable** ☐   **Good** ☐   **Excellent** ☐

Work plans and targets setting

17. **Does your supervisor assist you to achieve the targets you both set to achieve?**

Yes ☐

No ☐

18. **If your answer to question 17 is "yes", what is the communication medium and how often does it happen?**

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19. Are you of the opinion that your work plans are developed as a joint effort between you and your supervisor?

Yes ☐

No ☐

20. If your answer to question 19 is yes, what process/es do you follow?

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21. Is the appraisal or review of performance done jointly with your supervisor?

Yes ☐

No ☐

22. Are there clear performance standards set for yourself as the employee that you have to attain?

Yes ☐

No ☐

23. Are there clear performance standards set for your Ministry that you have to attain?

Yes ☐

No ☐

PMS and personal development

24. Have you ever attended a workshop/course/ seminar or any form of training as a result of the performance appraisal recommendation

Yes ☐

No ☐

25. Does a current performance management system contribute to your career progression and development? Please motivate your answer.

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Feedback, monitoring, coaching and support

26. How does your supervisor monitor your performance as a performance management system requirement?

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27. How often does your supervisor give feedback on your performance?

Weekly ☐   Monthly ☐   Quarterly ☐   Biannually ☐

Annually ☐   Never ☐

28. Does your supervisor ever coach you to improve your performance as a performance management system requirement?

Yes ☐

No ☐

29. If your answer to question 28 is "yes" how does the coaching take place?

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30. How does your supervisor support you to achieve your targets? Please explain.

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Reviews and ratings

31. How often is the performance rating a joint decision by both you and your supervisor?

Always ☐ Sometimes ☐ Often ☐ Rarely ☐ Never ☐

32. To what extent do you believe that filling in the performance appraisal forms and reviewing performance are tedious processes in a current performance management system?

Very tedious ☐ Tedious ☐ Neutral ☐ Enjoyable ☐

Very enjoyable ☐

33. In your case, how often should the performance reviews conducted in a year?

Weekly ☐ Monthly ☐ Quarterly ☐ Annually ☐

Not all ☐

34. How often does it happen that you disagree with your supervisor on your performance rating?

Always ☐ Sometimes ☐ Often ☐ Rarely ☐ Never ☐

35. What remedies do you have at your disposal in the event that you are not satisfied with the ratings that your supervisor has assigned to your performance?

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Recognition and motivation

36. What type of incentives does a current performance management system provide for?

Praise ☐ Promotion ☐ Other reward ☐ No rewards ☐

Not sure ☐

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37. **Do you think that a performance management system should be tied to pay as an incentive to perform better?**

Yes ☐

No ☐

Not sure ☐

38. **Is there adequate motivation for you to implement a performance management system?**

Yes ☐

No ☐

Not sure ☐

ACCOUNTABILITY QUESTIONS

39. **Do you think that the results of performance appraisal are used by management to improve the organisational accountability?**

Strongly agree ☐   Agree ☐   Neutral ☐   Disagree ☐

Strongly disagree ☐

40. **Do you think the current implementation of a performance management system is effective in addressing accountability problems in the Public Service of Lesotho?**

Strongly disagree ☐   Disagree ☐   Neutral ☐   Agree ☐

Strongly agree ☐

41. **Do you think your supervisor can be held accountable on how he/she has rated your performance?**

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

42. **Is a performance management system in the Public Service of Lesotho enhancing accountability? Please motivate your answer**

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43. Do you believe that the implementation of a current performance management system has accountability as the top priority?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

44. Do you regard a performance management system as a fair and reasonable measurement tool?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

45. Does your supervisor hold you to account for the performance that is not satisfactory?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

46. Does your supervisor hold you to account for your performance? Please elaborate how he/she does it.

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47. Does your supervisor feel obliged to review your performance as set out in the legal framework as part of accountability on his/her part?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

48. In your opinion do you think that the implementation of a current performance management system enhances accountability to the public (stakeholders)?

Strongly disagree ☐   Disagree ☐   Uncertain ☐

Agree ☐   Strongly agree ☐

STRATEGIC PLANNING QUESTIONS

49. Does your Ministry/Department have a strategic plan?

Yes ☐

No ☐

Not sure ☐

50. Have you ever participated in the drawing of your Ministry/Department's strategic plan?

Yes ☐

No ☐

51. Have you ever attended a strategic planning workshop/seminar/course since assuming your current position?

Yes ☐

No ☐

52. Do you fully understand the mission, vision and objectives of your organisation?

Not at all ☐   Partly ☐   Somewhat ☐   Very well ☐

Well ☐

53. Do you implement the strategic objectives of Ministry/Department in your day-to-day work?

Yes ☐   No ☐   Not sure ☐

54. Does a current performance management system link with your organisational strategic plan?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

BUDGET QUESTIONS

55. Does a current performance management system have any link with your Ministry/ Department budget?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

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JOB DESCRIPTIONS QUESTIONS

56. Do you regard your Ministry/ Department job descriptions sufficient to implement a performance management system?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

57. Do you think your job description helps during the drawing of your work plans?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

COMMUNICATION STRATEGIES QUESTIONS

58. Do you think the Lesotho Government communicates effectively to encourage implementation of a performance management system?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

59. Do you regard your organisation as having effective communication strategies that assist in the implementation of a performance management system?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

60. How often are meetings held by management and staff in your Ministry/ Department to discuss effective implementation of a performance management system?

Weekly ☐ Monthly ☐ Quarterly ☐ Annually ☐ Seldom ☐

Not at all ☐

GOVERNMENT COMMITMENT TO PMS

61. Is the Government of Lesotho committed to the implementation of a performance management system?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

62. Do you think enough has been done by Lesotho Government to improve planning and management skills of public servants in order to effectively implement a performance management system? Please elaborate.

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Thank you very much for taking your time to respond to this questionnaire!!!!!!!!!!!!!

APPENDIX B: The survey questionnaire for senior and middle management

INTRODUCTION

This questionnaire seeks to elicit information on the status of the performance management system (**PMS**) in the Public Service of Lesotho in relation to accountability. You are kindly requested to complete this questionnaire as accurately and honestly as possible. This survey is for the purpose of obtaining a Postgraduate Degree by the researcher. The Ministry of the Public Service has kindly granted the permission for this study to be undertaken. Therefore, you are requested to feel free in providing your opinions. Moreover, responses will be treated with utmost confidentiality, anonymity and will not prejudice anyone. Your assistance and cooperation will be highly appreciated. Completing this questionnaire will take approximately between 25-30 minutes of your time.

Please put words in provided space and use (√) in an appropriate answer box.

BIOGRAPHICAL AND EMPLOYMENT QUESTIONS

1. **Name of the Ministry/Department..**

2. **Age**   **20-30** ☐   **40-49** ☐   **60 and above** ☐

       31-40 ☐   **50-59** ☐

3. **Gender**   **Male** ☐   **Female** ☐

4. **Position Title ....**

5. **Grade ....**

6. **Date/Year of Employment by Lesotho Government ....**

7. **Highest Educational qualifications**

Standard 7	☐	Junior Certificate	☐	D. Degree	☐
C.O.SC/GCE	☐	Diploma	☐		
B. Degree	☐	M. Degree	☐		

8. How long have you been in your current position?

Less than a year ☐   1 Year ☐   2 Years ☐   3 Years ☐   4 Years ☐

5 Years and above ☐

A PERFORMANCE MANAGEMENT SYSTEM QUESTIONS

PMS training and skills
9. Have you ever attended a performance management system workshop/ seminar/course since joining the Public Service?

Yes ☐

No ☐

10. If your answer to question 9 is "yes", when was the last time that you attended such a workshop/seminar/course organised by the Ministry of the Public Service?

1-6 months ago ☐   7 months – 1 Year ago ☐   Longer than a year ago ☐

11. Do you fully understand the contents and requirements of the performance appraisal form and how to use it?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐   Very Strongly ☐

THE PMS implementation
12. According to your knowledge, was the introduction and implementation of a performance management system well planned? Please motivate your answer.

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13. In your opinion do you think a current performance management system is relevant to your work? Please motivate your answer.

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14. When was the last time that you have been appraised?

1-3Months ago [   ]   6Months ago [   ]   1-2Years ago [   ]   Not sure [   ]

15. When was the last time that you appraised your staff?

1-3Months ago [   ]   6Months ago [   ]   1-2Year ago [   ]   Not sure [   ]

16. Does a performance management system implementation meet the objectives it was meant to when it was introduced? Please motivate your answer.

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State of the PMS implementation

17. How could you rate the current state of the implementation of a performance management system in the Public Service of Lesotho?

Very poor [   ]   Poor [   ]   Reasonable [   ]   Good [   ]   Excellent [   ]

Work plans and targets setting

18. Does your supervisor assist you to achieve the targets you both set to achieve?

Yes [   ]

No [   ]

19. If your answer to question 18 is "yes", what is the communication medium and how often does it happen?

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20. Are you of the opinion that your work plans are developed as a joint effort between you and your supervisor?

Yes [ ]

No [ ]

21. If your answer to question 20 is yes, what process/es do you follow?

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22. Is the appraisal or review of performance done jointly with your supervisor?

Yes [ ]

No [ ]

23. Are there clear performance standards set for yourself as the employee that you have to attain?

Yes [ ]

No [ ]

24. Are there clear performance standards set for your Ministry that you have to attained?

Yes [ ]

No [ ]

PMS and personal development

25. Have you ever attended a workshop/course/ seminar or any form of training as a result of the performance appraisal recommendation

Yes [ ]

No [ ]

26. Does a performance management system contribute to your career progression and development? Please motivate your answer.

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Feedback, monitoring, coaching and support

27. How does your supervisor monitor your performance as a performance management system requirement?

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28. How often does your supervisor give feedback on your performance?

Weekly ☐ **Monthly** ☐ **Quarterly** ☐ **Biannually** ☐

Annually ☐ **Never** ☐

29. Does your supervisor ever coach you to improve your performance as a performance management system requirement?

Yes ☐

No ☐

30. If your answer to question 29 is "yes" how does the coaching take place?

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31. How does your supervisor support you to achieve your targets? Please explain.

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Reviews and ratings

32. How often is the performance rating a joint decision by both you and your supervisor?

Always ☐ **Sometimes** ☐ **Often** ☐ **Rarely** ☐ **Never** ☐

33. To what extent do you believe that filling in the performance appraisal forms and reviewing performance are tedious processes in a current performance management system?

Very tedious ☐   Tedious ☐   Neutral ☐   Enjoyable ☐

Very Enjoyable ☐

34. In your case, how often should the performance reviews conducted in a year?

Weekly ☐   Monthly ☐   Quarterly ☐   Annually ☐

Not all ☐

35. How often does it happen that you disagree with your supervisor on your performance rating?

Always ☐   Sometimes ☐   Often ☐   Rarely ☐   Never ☐

36. What remedies do you have at your disposal in the event that you are not satisfied with the ratings that your supervisor has assigned to your performance?

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Recognition and motivation

37. What type of incentives does a current performance management system provide for?

Praise ☐   Promotion ☐   Other rewards ☐   No rewards ☐

Not sure ☐

38. Do you think that a performance management system should be tied to pay as an incentive to perform better?

Yes ☐

No ☐

Not sure ☐

39. Is there adequate motivation for you to implement a performance management system?

Yes ☐

No ☐

Not Sure ☐

ACCOUNTABILITY QUESTIONS

40. Do you think that the results of performance appraisal are used by management to improve the organisational accountability?

Strongly agree ☐ Agree ☐ Neutral ☐ Disagree ☐

Strongly disagree ☐

41. Do you think the current implementation of a performance management system is effective in addressing accountability problems in the Public Service of Lesotho?

Strongly agree ☐ Agree ☐ Neutral ☐ Disagree ☐

Strongly disagree ☐

42. Do you think your supervisor can be held accountable on how he/she has rated your performance?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

43. Is a performance management system in the Public Service of Lesotho enhancing accountability? Please motivate your answer

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44. Do you believe that the implementation of a current performance management system has accountability as the top priority?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

45. Do you regard a performance management system as a fair and reasonable measurement tool?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

46. Does your supervisor hold you to account for the performance that is not satisfactory?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

47. Does your supervisor hold you to account for your performance? Please elaborate how he/she does it.

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48. Does your supervisor feel obliged to review your performance as set out in the legal framework as part of accountability on his/her part?

Not at all ☐ Hardly ☐ Somewhat ☐ Strongly ☐

Very Strongly ☐

49. In your opinion do you think that the implementation of a current performance management system enhances accountability to the public (stakeholders)?

Strongly disagree ☐ Disagree ☐ Uncertain ☐

Agree ☐ Strongly agree ☐

STRATEGIC PLANNING QUESTIONS
50. Does your Ministry/Department have a strategic plan?

Yes ☐

No ☐

Not sure ☐

51. Have you ever participated in the drawing of your Ministry/Department's strategic plan?

Yes ☐

No ☐

52. Have you ever attended a strategic planning workshop/seminar/course since assuming your current position?

Yes ☐

No ☐

53. Do you fully understand the mission, vision and objectives of your organisation?

Not at all ☐   Partly ☐   Somewhat ☐   Well ☐

Very Well ☐

54. Do you implement the strategic objectives of Ministry/Department in your day-to-day work?

Yes ☐   No ☐   Not sure ☐

55. Does a current performance management system link with your organisational strategic plan?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

BUDGET QUESTIONS

56. Does a current performance management system have any link with your Ministry/ Department budget?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

JOB DESCRIPTIONS QUESTIONS

57. Do you regard your Ministry/ Department job descriptions sufficient to implement a performance management system?

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

58. **Do you think your job description helps during the drawing of your work plans?**

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

COMMUNICATION STRATEGIES QUESTIONS

59. **Do you think the Lesotho Government communicates effectively to encourage implementation of a performance management system?**

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

60. **Do you regard your organisation as having effective communication strategies that assist in the implementation of a performance management system?**

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

61. **How often are meetings held by management and staff in your Ministry/ Department to discuss effective implementation of a performance management system?**

Weekly ☐   Monthly ☐   Quarterly ☐   Annually ☐   Seldom ☐

Not at all ☐

GOVERNMENT COMMITMENT TO PMS

62. **Is the Government of Lesotho committed to the implementation of a performance management system?**

Not at all ☐   Hardly ☐   Somewhat ☐   Strongly ☐

Very Strongly ☐

63. **Do you think enough has been done by the Lesotho Government to improve planning and management skills of public servants in order to effectively implement the a performance management system? Please elaborate.**

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Thank you very much for taking your time to respond to this questionnaire!!!!!!!!!!!!

APPENDIX C: REQUEST LETTER FOR APPROVAL TO UNDERTAKE

RESEARCH IN THE PUBLIC SERVICE OF LESOTHO.

Ministry of Home Affairs and Public
Safety and Parliamentary Affairs
P.O Box 174
Maseru 100

9th April, 2009

The Principal Secretary (Ntate Au)
Ministry of the Public Service
P.O. Box 228
Maseru 100
Lesotho.

**RE: REQUEST FOR APPROVAL TO UNDERTAKE AN ACADEMIC SURVEY
ON THE STATUS OF A PERFORMANCE MANAGEMENT SYSTEM IN THE
PUBLIC SERVICE OF LESOTHO**

Dear Sir

I wish to request for approval from your good office to undertake a survey on the status of the PMS in Lesotho Public Service. This is pursuant to the Post Graduate Degree I am undertaking with the University of the Free State. My Supervisor Professor Koos Bekker observes that such an approval will enhance the response rate to the questionaires and it is therefore necessary.

The Ministry of the Public Service being the custodian of the PMS is therefore requested to approve that I undertake a survey on this subject for academic purpose only. My topic is: *The impact of a performance management system on accountability in the Public Service of Lesotho.*

Your assistance on this matter will be highly appreciated

Kind regards

Yours sincerely

F. T. Sefali
Deputy Principal Secretary- Home Affairs

APPENDIX D: UNIVERSITY LETTER SEEKING APPROVAL FOR

RESEARCH TO BE UNDERTAKEN IN THE PUBLIC

SERVICE OF LESOTHO.

UNIVERSITY OF THE FREE STATE
UNIVERSITEIT VAN DIE VRYSTAAT
YUNIVESITHI YA FREISTATA

Programme: Public Sector Management
Program: Openbare Sektor Bestuur
Porogramo: Tsamaiso Ya Tsa Puso

11 June 2009

TO WHOM IT MAY CONCERN

RESEARCH: MR. FRANCIS T. SEFALI

Mr Sefali is a registered student for the PhD in Public Management at this University. He is currently doing his thesis for the partial fulfilment of the requirements for this degree. The title of his thesis is "***The impact of a performance management system on accountability in the Public Service of Lesotho".***

This letter firstly serves as confirmation of Mr. Sefali's intention to do empirical research on this topic in the Lesotho Public Service. Secondly it serves as support for Mr. Sefali's request to involve staff members of government institutions in Lesotho as respondents for the empirical research that will be done by means of questionnaires.

The research findings will be treated as confidential and a copy of the thesis will be made available to the relevant ministries. Since the content of the thesis may provide useful information to enhance the quality of performance management in public institutions, there may be a possibility that the responsible authority/ies might be requested to authorise the publication of the findings by means of an accredited academic journal.

Your favourable assistance to Mr. Sefali will be appreciated.

Kind regards.

PROF JCO BEKKER   **PROF AM SINDANE**
SUPERVISOR.   **CHAIRPERSON**

APPENDIX E: PERFORMANCE REVIEW FORM
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	
All main duties carried out well and with minimum supervision. They 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……………………   **Appraisee'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 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**……...

APPENDIX: F PERFORMANCE MANAGEMENT SYSTEM
FOR THE CIVIL SERVICE OF LESOTHO
PERFORMANCE REVIEW FORM

MINISTRY	*DEPARTMENT*	*SECTION*

Period of review   FROM: …..TO ....

GENERAL GUIDANCE

1. This Form is part of the 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.

2. For the appraisal to be objective, it is essential that the reporting officer:
(a) clearly understands the contents of the appraisee's job description and job specifications; (b) properly knows the officer being appraised through work supervision of at least three months.

3. 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:…………………………..**   **EMPLOYEE NO:** …………………………..

   POSITION*: ....*

                           DAY   **MONTH**   **YEAR**

  FIRST APPOINTMENT
  APPOINTMENT TO PRESENT POST

   COURSES ATTENDED DURING
  PERIOD OF APPRAISAL

   PERIOD WORKING WITH THE
  PRESENT APPRAISER

2. **NAME OF APPRAISER**
  POSITION
                         DAY   **MONTH**   **YEAR**

  FIRST APPONTMENT

  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:-
1.   One copy to remain at Headquarters
2.   The other one goes to the Department
The third and forth to be held by the MPS and the Employee respectively

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.
_____
_____
_____
_____
_____

DATE:……………………………….....................................
SIGNATURE………………………....................................

Appraisee's Remarks:

DATE:…………………………….. SIGNATURE...

Other Management Comment: Head of Department/Principal Secretary (if required)

DATE:…………………………….. SIGNATURE...

Rating Performance

Outstanding	*Very good*	*Good*	*Satisfactory*	*Unsatisfactory*
□	□	□	□	□
Exceptional Performance	*Performance Consistently at required level*	*Performance at required level*	*Performance usually meets required level*	*Performance less than expected level*

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

Date: ....   *Date:...*

QUARTERLY PROGRESS REVIEW

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

Progress for the quarter	Workplan Adjustments if required	Appraisee's Comment
From...................... To..........................	 **Appraiser's Comment on Progress made to date** Signature ....Date..................	 Sign..............Date..........

Progress for the quarter	Workplan Adjustments if required	Appraisee's Comment
From...................... To..........................	 **Appraiser's Comment on Progress made to date** Signature ....Date..................	 Sign..............Date..........

Progress for the quarter	Workplan Adjustments if required	Appraisee's Comment
From...................... To..........................	 **Appraiser's Comment on Progress made to date** Signature ....Date..................	 Sign..............Date..........

Progress for the quarter	Workplan Adjustments if required	Appraisee's Comment
From...................... To..........................	 **Appraiser's Comment on Progress made to date** Signature ....Date..................	 Sign..............Date..........

Period of Review: *FROM: ……………….   TO: ………………………*

Development Planning (this portion of the Appraisal Form will be copied and forwarded to the Training Unit 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/Supervisory (Specify)	
b) Managerial/Supervisory (Specify).	
c) Organizational , e.g. Job Rotation, Internal Exposure, Transfer to another job	
d) Other	

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

DATE:...   *DATE:..*

RATINGS ON ANNUAL WORKPLAN

NAME:

POST-TITLE: …………………….. MINISTRY/DEPARTMENT: …………………….. PERIOD FROM:……………… TO: ....

KEY TASK/OBJECTIVES	PERFORMANCE INDICATORS	PERFORMANCE STANDARDS/TARGETS	LEVEL OF ACHIEVEMENTS			COMMENTS ON ACHIEVEMENTS/ CONSTRAINTS/ ASSUMPTIONS
Areas of the job that are most important Key Performance Areas should be based on the job and agreed objectives	State performance indications 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*

1. KNOWLEDGE OF WORK	*4*	*3*	*2*	*1*	*RATING*	*REMARKS*
How well the officer knows the objectives and procedure of the job	**Fully informed**	*Knows the job well*	*Has mastered most details*	*Improving slowly*		
2. OUTPUT: ACCURACY	*4*	*3*	*2*	*1*		
Reliability	*Highest possible*	*Very good*	*Satisfactory*	*Too may faults*		
3. TIME MANAGEMENT	*4*	*3*	*2*	*1*		
Qualifying of Time Keeping at level of absenteeism	*Never late and keeps appointments*	*Late once in 3 months*	*Late once every month*	*Often late*		
4. INITIATIVE	*4*	*3*	*2*	*1*		
How much initiative resulting in accomplishment is shown	*Very high level of initiative*	*Much initiative*	*Adequate*	*Rarely shows any*		
5. INTER PERSONAL RELATIONS	*4*	*3*	*2*	*1*		
Ability to get along with co-workers and the public	*Exceptionally good*	*Very Good*	*Reasonably good*	*Somewhat lacking*		

6. EXPRESSION	*4*	*3*	*2*	*1*		
Oral or Written	*Exceptionally good at all times*	*Always clear and well set out*	*Generally clear and concise*	*Good enough to get by*		
7. ORGANISATION OF WORK	*4*	*3*	*2*	*1*		
	Exceptionally effective Organizer.	*Considerable Organizing Skills.*	*Satisfactory.*	*Indifferent Organizer.*		

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

Date: ....   *Date: ....*

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ANNUAL WORKPLAN

NAME: ……………………………………

POST-TITLE: …………………….. *MINISTRY/DEPARTMENT:* …………………….. *PERIOD FROM:*……………… *TO:* …………….....

KEY TASK/OBJECTIVES	TASKS (Activities further broken down)	PERFORMANCE INDICATORS (How will results be measured)	PERFORMANCE STANDARDS/TARGETS(An agreed minimum level of performance)	REMARKS
		An agreed minimum level of performance	*How has the employee performed in the Key Tasks*	
	.			

Appraiser's Signature ....

Date: ……………………...

Appraisee's Signature...

Date :…………………………..

Ministry of Home Affairs, Public Safety and Parliamentary Affairs
P.O. Box 174
MASERU 100

24 June, 2009

Dear Respondent

RESEARCH PROJECT ON A PERFORMANCE MANAGEMENT SYSTEM IN THE PUBLIC SERVICE OF LESOTHO

Your assistance is kindly requested to fill in the enclosed questionnaire. You may return the filled in questionnaire or have it collected as soon as you have filled it in.

In order to meet the research deadline, your cooperation is humbly requested that the questionnaire be completed on or before 31st July, 2009.

Kind regards.

Yours faithfully

F.T. SEFALI (MR)
RESEARCHER